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ABSTRACT

Each of the 11 chapters of this book was written by a professor of school management with practical administrative experience and expertise in a specific area. Thus, a feature of the book is the integration of theory and practice. Each chapter discusses a particular administrative position and its role; these positions include: superintendent, superintendent of curriculum and instruction, assistant superintendent for business, assistant superintendent for pupil personnel services, assistant superintendent for personnel, high school principal, adult school principal, middle level principal, elementary school principal, assistant principal, and school consultant. The overall theme of the book centers on improvement and evaluation of administrator effectiveness. Each chapter is accompanied by a bibliography. (LMI)

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# The
# Effective School
# Administrator

by

Richard W. Hostrop

&

Associates

An ETC Publication

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# Foreword

*The Effective School Administrator* is a valuable contribution to both practitioners and would-be practitioners of the art and science of effective school management. Each of the eleven chapters in *The Effective School Administrator* was written by an outstanding professor of school management who once was an equally outstanding practitioner. The author of each chapter is a *specialist* in the area covered by the chapter. Thus, the reader gains the benefit of high expertise in both theory and practice.

For practitioners, the chapter on the position currently held will be especially valuable. Additionally, valuable insight will be gained if contemplating a position change. For future school administrators, studying and discussing the various positions needed in a school system can assist in making a wise career decision. Just about every type of school administration position is covered in *The Effective School Administrator*. Readers will be richly rewarded by reading the contributions made by these outstanding educators.

Richard W. Hostrop, Editor

# Contributors

*The Effective School Superintendent* by John J. Hunt, Associate Professor – Educational Leadership Department at the University of South Florida. Dr. Hunt was a superintendent of schools for fifteen years, the last superintendency being the 50,000 K-12 Jefferson County School District in Birmingham, Alabama.

*The Effective Assistant Superintendent – Curriculum and Instruction* by William J. Zachmeier, Professor–Graduate Faculty in Educational Administration and Higher Education Program of the Division of Educational Development and Leadership at San Jose State University. Dr. Zachmeier has been a superintendent of schools, an associate superintendent of schools, and a director of curriculum in California and Maryland.

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*The Effective Assistant Superintendent – Personnel* by Linda A. Zurfluh, Associate Professor – Educational Administration at Western Washington University. Dr. Zurfluh was director of personnel for four years in the 2,000 employee Bellevue School District in Washington where she was responsible for the recruitment, selection, assignment, transfer and evaluation of district employees; at table negotiations and contract administration for all eight unions.

*The Effective High School Principal* by Jeri L. Engelking, Assistant Professor – Educational Administration at the University of South Dakota. Dr. Engelking has been a supervisor of school transportation, a district-wide athletic director, and an assistant high school principal.

*The Effective Adult School Principal* by Edwin Hamilton, Associate Professor – Educational Leadership at Howard University. Dr. Hamilton is the Coordinator of the Graduate Program in Adult and Continuing Education. He also has been a Training Director for the Peace Corps and Consultant for the Job Corps.

*The Effective Middle Level Principal* by Jon Kron, Grants Coordinator – Edinboro University, Pennsylvania. Dr. Kron has served his university as Director, Center for Academic Development and as Assistant to the Vice-President for Academic Affairs. Dr. Kron has provided extensive consulting and has directed workshops for the improvement of middle level school programs.

*The Effective Elementary School Principal* by Jose Angel Rodriguez, Associate Professor – Mid-Management Program at Stephen F. Austin University. Dr. Rodriguez has provided numerous workshops concerned with the improvement of Texas schools. He also has been an administrator in an inner-city school prior to coming to SFAU.

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*The Effective School Consultant* by Ronald W. Roland, Associate Professor – Educational Administration and Supervision at Albany State College. Dr. Roland has had extensive school administration experience having been an elementary school principal, a middle school principal, and a central office administrator. Besides teaching and supervising school administration students, Dr. Roland has served as a consultant to numerous school districts for over twenty years.

## *The Editor*

Richard W. Hostrop conceived the idea for this book in which submissions were invited for each chapter from every professor of educational management in the United States. Numerous responses were received from which the authors of this book were selected. Dr. Hostrop has been an elementary school principal, a middle school principal, a high school principal, a superintendent of schools, and a community college president. Dr. Hostrop now serves as President of ETC Publications and ETC Consultants in Palm Springs, California.

## One

# The Effective School Superintendent

by

**John J. Hunt**

Effective or ineffective? Every time I walked into the room his eyes targeted me with the question. N. R. Baker was his name. He had been the Superintendent of Schools in the Metropolitan Birmingham Jefferson County from 1917 to 1925, sixty-five years earlier than I.

"Where," I would stare back at him, "Do you get off asking me, a hot-shot modern superintendent such a question?

It's likely every large school district has a "rogues gallery" of past superintendents' imposing portraits hanging in the board room, or some such place. Jefferson County, Alabama, was no exception. Ours hung in the board conference room adjacent to my top floor downtown Courthouse office.

Alone, with a decision to be made, I had taken to walking. It seemed to me my brain functioned better when not pressed into a chair. At first I had walked within my office, it certainly was large enough. Then I found myself wandering into a conference room, attracted perhaps by the additional windows through which I could see modern metropolitan Birmingham, prospering now with a highly respected City Mayor (whose skin color happened to be black but who captured more than half of the so-called "white" vote in his last campaign), an industrious mixed-race City Council; and a County Commission whose five members probably had more university degrees among them than we had over here among the top five County school administrators, myself included. Clearly, an opportune time for a superintendent to be effective. That's when I met N. R. Baker, or at least his portrait.

Assuming Superintendent Baker's portrait was made toward the end of, or after, his eight year incumbency; it didn't appear as though the job had done him much harm. He looked to have been strong and muscular of build, "Little or no office cellulite on him," I thought to myself. The rims of his glasses disappeared into a full head of dark hair. On his face he sported a moustache and a slightly graying goatee, "Partially explains the acceptance of my beard," I observed.

Immediately after assuming the superintendency, N. R. Baker faced delusion. The distriict had no money to meet the payroll! (1:68) Not, we might observe, a strictly historic circumstance. I am familiar with superintendents today who face exactly the same circumstance after walking away from the initial media lights and closing the office door to talk quietly with the business manager.

In N. R.'s time the usual solution was to close the County's 130+ schools until next year. Again, not a strictly historic circumstance. But the new superintendent had other ideas. He visited long and hard with the local bankers and convinced them to loan him the needed money, pledging the taxes to be collected next year as collateral! (1:68) Heaven forbid. He borrowed money to keep the schools open, not a popular executive technique in 1917. Sooner or later such a foolish move would catch up with him. By the same time or sooner in the subsequent school year he would be twice as deep in the financial hole. We can be certain he received the inevitable advice, "Take the cautious route. Close this year and hope for better next," but, he didn't; he borrowed.

Facing a financial "shortfall" for certain the next year, N. R.

promptly *lengthened the school year, to nine full months!*(1:65) Now he was really in the deep end. We can be certain the always present pundits foresaw the shortest superintendency on record for N. R.

Did he wring his hands in despair? Did he run to the State Legislature for help? No. He promptly went out and called for a *tax increase* for the schools! In the World War I years with prices rocketing, in the middle of conservative Alabama, in his first year as superintendent; he calls for a 3-mill tax increase for the schools. AND, HE GOT IT. (1:68)

Effective or ineffective? If the conclusion is "Effective," can we always say that a superintendent who gets more money for the schools is effective? Would it follow that a superintendent who is unsuccessful in a tax increase attempt is ineffective? Carry the questioning one logical step further, would a superintendent who *reduces* the school budget be acting effectively or ineffectively?

Wouldn't we have to say, "It depends?" Reducing a school budget to fit declining enrollments might garner for a superintendent just exactly the kind of community support needed if, at some later time, it were to become necessary to ask for a tax increase. "He only asks for it when he needs it," might be the perception the superintendent wants to instill in his/her community.

Trying and failing to get a tax increase is sometimes the very avenue down which one has to proceed a few times before a community finally approves an increase. It has, on occasion, struck me that some communities demand a sort of "mating dance" ritual from the superintendent before succumbing to the repeated overtures. Taxes, even for education, seem sometimes to take a figurative similarity to virginity; something to be relinquished only after a pleasing seductive ceremony.

And, in these so-called "modern" times, a smaller and smaller portion of the school funding decision remains within the jurisdiction of the local community. In the face of more and more research findings which point to the value of involving in productivity decisions as many as possible of those likely to be affected by the decision outcome, we move the school funding decisions further and further away from those who are most affected. Perhaps, before deciding that a superintendent's effectiveness is related to the amount of school funds garnered, maybe we need to ask if the funding scenario we are creating nowadays allows anyone to be effective.

Having survived his first year as the superintendent by borrowing, lengthening the school year and raising taxes, N. R. Baker did not rest. No sooner had the 1918 year begun when he then achieved Board adoption of sick benefits for teachers. (1:67) In 1918 he did this, in the deep South! The next year "bereavement" days were added, i.e., teachers absent due to death in the immediate family were allowed full pay up to three days. Still not resting, he convinced the Board to pay teachers' full salary "for any reasonable time they were compelled to do public duties." (1:67) We can surmise with certainty that not a few of the local pundits had begun quietly to look into Baker's background to determine if he was then, or ever had been, a member of a subversive party; or worse for Alabamian's, the Liberal Party. As recently as the late 1960's, I can recall sitting across the negotiating table from the teachers' union representative and listening to him argue the case for the inclusion in the contract of "sick days," "death in the family days," and "jury duty days"; and the table at which we sat was in New York State.

Effective or ineffective? Actively urging improved "wages, hours, and conditions of employment," for employees; is that a characteristic of any chief executive officer these days?

Let's not even stop for an answer. Superintendent Baker, sixty-plus years ago, hadn't even taken a breath in his efforts on behalf of the employees in his district. In 1918 he urged upon the teachers the creation of a "Teachers' Council," to contain within it an advisory committee with immediate access to the superintendent, membership to be selected by the teachers; and; you've got to sit down for what follows, a member of this Council was to have a regular place and be recognized (in the *Roberts Rules of Order* sense) on the Board of Education. HE GOT IT! (1:67)

Effective or ineffective? When, in this so-called age of "modern management," have we ever heard of a chief executive officer in *any* organization advocating improved conditions for employees? We tend now to equate an effective executive (superintendents included) with success ratios related to the extent he/she has been able to *reduce* employees and/or employee "wages, hours, and conditions of employment"; as though they were some kind of overhead which, if reduced to near zero, or eliminated altogether (by, in the case of industry, moving the plant to another country) the corporation or school district would be better off.

Let's not mistakenly conclude Baker was some sort of a "do-gooder" who urged paying teachers more money for the same or less productivity simply because they were voters. In 1919 he convinced the Board to resolve " . . . to hire no more teachers with a third level certificate and to give those already employed (with a third level certificate) two years to meet the (new) requirements. (1:66)

In the same year, the U. S. Department of the Interior (of which the Education Office was then a part) discussed a program put into operation by Superintendent N. R. Baker and the Jefferson County Board of Education which classified teachers and scaled salaries according to qualifications *and teaching success*. "Success was measured on a point basis by a supervisory force and covered the areas of preparation, teaching ability, business, personality, loyalty and community interests." (1:67) And, teachers with the highest ratings were given a *choice* of school in which they wished to teach! (1:67) If you haven't already, envisage for an instant the resultant scramble of principals trying to *lure* the top-rated teachers into his/her school to teach. Imagine the "bonuses" a principal might offer if the teacher signed on; complete say over curriculum, no interference in grading and promotion of pupils, active support in disciplining, etc.; why didn't I think of that and propose it as something new sixty-four years later?

The recent research related to employees is overwhelming.

The temptation to list all of it here is almost overwhelming. Call it what you will; collegiality, collaboration, cooperation, quality circles, participation, involvement, goal task-forces, small-group control over its destiny, etc., it all highlights statistically significant increases in productivity deriving from employee inclusion; none of the research points up any benefit from exclusion. Can we therefore conclude Superintendent Baker's employee related activities indicate he was an effective school superintendent?

Do we include in our list of so-called "modern" indicators of an effective superintendent (or any C.E.O.) activities which draw *all* the parties possibly affected by a decision into the decision? Would we perceive a superintendents' efforts if he were to urge upon his/her Board, community and employees, patterns of decision-making which had the same or similar goal as N. R. Baker's, the development of a sense of Ownership among all the participants?

There were occasions, I will confess, when I turned N. R.'s portrait to face the wall. His eyes drove me to do it. He kept haunting me with the question, "Are *you* effective? Forget the money questions, forget your fellow employees for the moment, are you effective with the children? Are the children learning better, or more, because of you?"

I had him there! I *knew* I had him there. No backwoods bumpkin from the past could match me there. Then I looked through the records.

Besides lengthening the school year to nine months in his first year as superintendent, he also instituted compulsory, county-wide school attendance; all students. And, he had the chutzpah during his tenure to have constructed seventy-five school buildings and twenty-five teacherages! (1:67)

Mostly as an aside, in case the word "Teacherage" isn't recognized; in those days the district not only built the rural school(s), it also built a home or homes on the school grounds for the teacher(s).

Of those seventy-five schools, *fifteen* were fully accredited high schools. (1:58) Let me try and explain how he did this, how he "pulled it off." Early in his tenure he "districted" the entire county so as to provide secondary education within easy access of every county student. At the time, however, he had only one high school. (1:58) Not in the least fettered by this minor problem he promptly called for the construction of fifteen more four-year high schools (plus, of course, a complete refurbishing of the one original high school). AND HE GOT IT! (1:68)

Effective or ineffective? In the midst of everything else; war, taxes, prices, compulsory attendance, increased benefits for employees, performance pay, etc., N. R. Baker saw to the construction of four year high schools at the average rate of two per year for eight consecutive years!

Dare we use construction of new facilities as a measure in some way of a superintendent's effectiveness? How many college presidents are described in similar terms; "During President Soandso's tenure he saw to the construction of the new mathematics building, the new library," etc. Is construction a sensible measure of effectiveness? If we say "Yes," then what about the otherwise perfectly effective superintendent in a district with declining enrollments where buildings have to be closed?

One evening, when I was alone in my office with my heavy thoughts and N. R. was still facing the wall in the conference room, I stomped toward his portrait, picked it up, and returned it to its proper setting. "Baker," I said to the face poking up through the Buster Brown starched collar, "You may have done all those things I've been reading about, but I'll bet your high school curricula were crumbs compared to mine." I hauled out once again the record books to have a look.

There it was, in a review he must have had with his Board were the conclusive facts. His "senior" high school curricula, in every high school, had required four years of the " Sciences" (math, physics, biology, etc.), Latin, "Modern Languages," Vocational Agriculture, and English. I was too humbled to look up at his picture, so I read on. The senior year was divided into "constants" (what we would title as required courses) and "electives."

Feeling beaten, I read more." From the 1922-23 school year, students were tested and measured periodically with standardized tests and evaluations made of their progress and problems." (1:65)

Closing the history book and looking my predecessor in the eye I said, "Baker, when this shop reopens tomorrow morning and I set my staff to ferreting out your old test scores, you have had it; absolutely had it. There is simply no way your students did as well as my students are doing now, compared to national standards."

Stuck in the traffic on the way home that evening I fairly gloated over the anticipation of the next day's reward. "I'll show him who's the more effective superintendent," I thought to myself.

Effective or ineffective? Does a school district's upward progression of nationally normed test scores indicate an effective school superintendent? Or does it indicate more effective teachers and teaching, without regard to the "distant" superintendent? |Or does it indicate the presence of more effective principals; without regard to the superintendent "downtown?" Or, does it indicate effectiveness at all?

Circumstances, mostly beyond my control, kept me from my anticipated confrontation with the portrait of my predecessor for the better part of a week. When I did finally return to the conference room on a darkening evening it was with an apology on my lips. Not because the present test scores didn't exceed the 1920's scores, not at all. The scores during my tenure did, in fact, out-shine the 1920's scores. Relative to the national standards of the respective times, "my" scores did him in.

The apology originated with the realization he had opened fifteen high schools during his tenure and, consequently, had increased the "n" of his test takers more than ten-fold. Of course the 1920's scores showed a decline. Instead of having only the *creme de la creme* taking the national test, as he had in 1917 when he had only one county high school drawing only the very best from throughout the county, by 1923 he had more than ten times as many students taking the tests. Mathematically, it was inevitable that his "average" would decline toward the overall norm average as he increased the number of test takers from within essentially the same student population.

"I apologize, you old buzzard," I said. "And I tip my hat to you as well.

"Whether test scores back in your day received the same over-emphasis they receive now, I don't know. I do know you did one helluva job old friend. In a couple of years I'll be up here on the wall with you and we can talk about it at our leisure. Right now I'm off to a meeting I've called of my top associates. We're gonna go after Southern States accreditation for every last one of our schools, kindergarten through grade twelve; and, we're going to do it all in one year. Put that in your goatee and scratch it."

Thus far, the only consideration we have allowed ourselves to use in determining effectiveness and/or ineffectiveness have been results criteria. We have examined what a particular superintendent did and, from his record of accomplishments, have flirted with a conclusion about his effectiveness and/or ineffectiveness.

Some say "results" should be *the* only criteria. The arguments supporting the heavily favored "bottom line" as the only consideration that really matters are formidable. Maybe results *should* be the only criteria of substance, maybe it shouldn't. But, if we do subscribe to the "results only" criteria, we have precipitated some consequences and we must be prepared for them.

For example, a "results only" view must, by definition, be prepared to cope with what might be described as the "post mortem" consequence. If we judge solely by results, then we are reaching our conclusion only *after* performance in the job. Time, the elapse of perhaps years of time, becomes the consequence of the "bottom line" view. If one were to judge a superintendent's effectiveness/ineffectiveness strictly on the basis of results, then it becomes necessary to do as we did with Superintendent Baker; reach our conclusion "post mortem."

Not always sixty-years post mortem, of course; but, after the fact:: always. How much time must elapse before one can reach a reliable conclusion when using results only as the criteria? In N. R. Baker's case, had we been present in his first year, at the time he borrowed from the bankers, could we have concluded that Baker was an effective superintendent? Or, would that have been too early? Had we concluded from the immediate result, i.e., he kept the schools open the full year, that he was effective; and then, subsequent to our conclusion, he had lost the tax increase question and had to close the schools the following year twice as early in order to cover two years of shortfall, would we have wanted to revise our earlier effectiveness conclusion?

How long do we wait? How long do we give a newly appointed superintendent before we begin forming conclusions about his/her effectiveness? Three years? Two? A month? How long?

Suppose we succumb to our natural tendency towards impatience and answer, "Three years; you've got three years Dr. New Superintendent," what consequences have we precipitated? Will Dr. New Superintendent put into motion a process which will take five years to reach fruition? Even if the five-year process is truly what the district needs, have we precipitated a "bottom line" mentality in the mind of the new appointee which will prompt him/her to address only those matters the results of which will accrue favorably within the alloted time? Do we, if we subscribe to the "results only" view, cause to develop a chief executive officer who carries with him a "bag of tricks" which he plays out over the allotted time and then, either is allotted more time or moves on to another "bottom line" thinking board?

And what criteria can we agree upon for the bottom line? Which results are we going to value? Would a lower tax rate be a result on which we would judge effectiveness of the superintendent? Would an employee strike be a criterion? How about higher achievement test scores, might we use that as a bottom line result? If we do, then how do we judge Superintendent Baker, effective or ineffective?

When Baker operated one high school in the county and admitted only the exceptionally bright students, he had exceptionally high achievement test results. Would we, had we been there then, concluded, on the basis of results, that Baker was effective?

When Superintendent Baker increased the number of high schools from one to sixteen, was he a more effective superintendent than when he had only one? By increasing the availability of secondary education within the County and creating compulsory attendance laws, Baker brought many more students into the testing scenario. Consequently, as mathematicians will attest, the test scores gravitated toward the norm, i.e., his test results (Heaven Forbid!) *declined*. If we use test results as the bottom line, was Baker effective or ineffective?

More importantly, far more importantly to my way of thinking, had we been the majority on the County Board of Education with our bottom line, results orientation and had been hiring a superintendent at the time Baker was a candidate, and had hired us a different superintendent (one who had thought as we) to whom we said, "You've got three years Dr. New Superintedent, and the test scores better rival San Francisco's by then, or else"; what consequence might have we precipitated? Might *we* have created a circumstance in which the new superintendent understandably concentrated his/her efforts upon improving the test results being garnered from the intellectually elite attending the one high school, AND MOVED TO THE BOTTOM OF HIS/HER AGENDA THE EXPANSION OF SECONDARY EDUCATION SO THAT EVERY YOUNGSTER HAD ACCESS TO IT/

Three years hence, we, as members of the Board could have hastened to the National School Board's Association convention in San Francisco and proclaimed proudly to anyone who would listen (and many would) how education in "our" county was "ahead." The fact that another generation of underprivileged southern youngsters would have been without access to secondary education might have bothered us, perhaps, but certainly to no more or less a measure than it had bothered our predecessors on the Board.

And "our" superintendent? We've got him dancing on a short string. His management objectives these past three years have been clear as a bell. Raise those test scores. Yessiree, he knows the bottom line he does. He dances to *our* tune.

And our profession? How would other superintendents judge the above Dr. New Superintendent? He has the board singing the county's praises, they've given him a new three-year contract, his district leads the list of high achieving school districts which the Department of the Interior publishes every year; he must be effective.

If we use results as our criteria for effectiveness, then we must allow time to pass before we can reach a conclusion. If the "term" we set, during which we shall wait patiently, is short; then we will get short term results. Whatever criteria we set as the results upon which we shall judge the superintendent's effectiveness/ineffectiveness after the "term" has elapsed will be the matters which will receive paramount attention during the term. And the education criteria most likely to be set as the bottom line are the criteria of most importance to the verbally skilled, vocally active, politically skillful constituents with children who have money to contribute to a political campaign. And what criteria is that? College. And what do colleges hide behind? Achievement test scores. Hence, N. R. Baker, with his declining test scores, was he effective or ineffective?

What if we cannot wait for a post mortem analysis of performance in order to determine effectiveness and/or ineffectiveness? What can be done in the interim? One possibility is research. We can turn to research.

Substantial research has been conducted to reach conclusions about the differences between effective and ineffective operations. Substantial and lucrative theorizing has also been done, but, at this point let's turn to the research. If we describe the results only view as post mortem oriented, then we could describe the effective operations research as "characteristics" oriented.

The general idea of this kind of research is to identify two operations, one effective and one ineffective. The two are inspected to determine if there are any unique, identifiable characteristics of either the effective or the ineffective situation. The focus, quite naturally, has been upon the identifiable characteristics of the effective operations. In education the characteristics research has focused on the school. The question asked has been of the nature, "What kinds of characteristics exist within effective school? The assumption, or in some of the work the implication, suggests the presence of characteristics in effective schools which do not exist in ineffective schools, or exist in very different measures or mixes, or only partially.

Ron Edmonds' work in the late 70's properly serves our need here. He reported five factors, under the direct responsibility of the school administrators, which exists in effective schools:

1. Strong administrative leadership by the school principal, especially in regard to instructional matters;
2. A school climate conducive to learning, i.e., safe and orderly and relatively free of serious discipline and vandalism problems;
3. A school wide emphasis on basic skills instruction.
4. Teacher expectations that all students will learn and can reach appropriate levels of achievement;
5. A system for monitoring and assessing pupil performance which is tied to instructional objectives. (3:22)

Lists of the characteristics found in effective schools vary mostly in wording among the researchers, but Edmonds' list serves our need.

Would it therefore be possible to posit the hypothesis that the existence of the same characteristics throughout a school district would be an or *the* indicator of the presence of an effective superintendent? And, by implication, the absence of these characteristics would be an (or *the*) indicator of the presence of an ineffective school superintendent?

A closer inspection of Edmonds' work is warranted before such a conclusion can be made. Edmonds did his research within the New York City school district.. He identified certain schools from which were emanating achievement test results far in excess of reasonable expectations. He also identified certain schools from which were emanating low achievement test results. None of the results, high or low, were attributable to family background because the family backgrounds of the students in both groups were the same, i.e. bad. (3:20)

Immediately we'd have two strikes against us were we to try and apply this approach to the superintendent. First, *all* of the schools in Edmonds' study were in the same school district. Can we point to the presence of the effective schools and proclaim the then New York City School Superintendent effective, or can we point to the presence of the ineffective schools and proclaim the superintendent ineffective?

Second, the separator, the measure which was used to separate the schools originally into effective and ineffective groupings was an achievement test; which brings us back to square one upon which we were earlier perched. Is an achievement test measure an accurate indicator with which to determine the effectiveness/ineffectiveness of a superintendent? If it is, then difficulties arise when the performance of N. R. Baker is assessed. Even though, or more hauntingly, perhaps because, Superintendent Baker increased access to public secondary education by a factor of fifteen, the achievement test scores dropped.

There's a caution in need of insertion here. An acceptable indicator of anything has to provide its indication every time, without regard to extenuating circumstances. One cannot attach a "Yes, but . . . ," type of statement to Baker's performance and then go on happily applying the indicator to others. Each of the others could just as easily be shown as worthy of "Yes, but's." The saying goes something like this, "If we're going to apply it, it's got to apply."

Perhaps we can back up and approach this characteristics research a bit differently and still use it to reach some sort of conclusions about the effectiveness of a superintendent during a superintendent's "reign." In examining the research directly related to education we come upon two difficulties. First, the work is focused mostly upon the school and we hazard extending it to an entire school district. And, second, the separator used initially to identify the effective and ineffective schools is quite often some measure of student performance on a standardized test.

Others interested in determining the effectiveness of a superintendent have encountered this same dilemma. In an effort to skirt these two difficulties they have examined the research about effective organizations which are more removed from the school scene. Organizations have been studied in which the results were clearly the only criteria for which the organization was intended. An organization created for the sole purpose of building and selling automobiles for profit, for example, has one clear purpose.

Among these non-educational organizations some are more effective than others. Examinations into the research done into the characteristics extant among effective organizations in which the definition of purpose is quite clear and therefore the indicator (s) are less disputed, has been suggested or implied as transferable findings; applicable to a school organization.

Research into and theorizing about "business" organizations can be quite lucrative. This might explain to some measure why there is so much of it spanning many more decades than there is research done directly into school organizations.

"Organizational" research, when examined chronologically by decades does yield indicators and/or characteristics about "productive" (insert the newer, more educationally palatable word "effective") organizations. Just as the effective schools research yields characteristics present in the effective schools, as was highlighted earlier in Edmonds' work, so the productive organization research yields characteristics present in the productive organization.

In the 1950's and 60's the work seemed to focus upon the characteristics present in organizations which had succeeded in changing themselves to match the changing times, technologies and/or markets. For our purpose, a few examples will suffice.

In 1948 Coch & French found that organizations which had changed had overcome the resistance to change more easily by involving the workers (a word that has mostly disappeared) in the discussions about the need for change prior any actual change. In 1956, Morse & Reiner ascertained that organizations which increased participation in decision making also increased the level of work productivity. Mann, in 1957, determined that the greater the degree of worker involvement, the greater the positive organizational change. Lewin, in 1958, established that people in organizations in which job related group discussions existed before the change was undertaken developed greater support for problem solutions which necessitated change. Lawler, in 1964, pointed out that people in those organizations which have been sub-divided into smaller organizational units had greater job satisfaction. (The implication being that job satisfaction correlated with job productivity.) Likert opened the theme for the 70's by showing, in 1967, that worker participation in setting organizational goals and appraising the results was a characteristic of the most effective organizations.

If discussion was a notable characteristic of successful organizations in the 1950's and 60's, these discussions inevitably lead to mutual goal setting as a characteristic of the 70's. Hellriegal & Slocum, in 1974, showed that people in effective organizations organized themselves around goal tasks and differentiated responsibilities according to the task at hand. Authority, Hellriegal & Slocum found, was then delegated as far down into the task group as possible. Kast & Rosenzweig, in 1974, verified that productive organizations had complex arrays of goals and complex evaluation orientations with which to determine when they had achieved their goals; and (perhaps consequently) problem solving was collaborative in nature. In examining this closely, Lathan & Yukl, in 1975, related that goal setting helped people within the productive organizations gain a measure of perceived control over their activities, which positively influenced performance. Mink, in 1979, found that a unity of purpose pervaded effective organizations and that collaboration provided an avenue of energy exchange among the people working in the effective organizations.

As a curtain call to the 70's, Fullan, in 1982, reaffirmed that goal clarity among the people within an organization was essential to the effectiveness of the organization. Kanter, in 1982, reported that the most successful innovations within effective organizations derived from cross department contributions to problem solving and the "matrixed" organizational structure proved the most effective. Peter & Waterman, again in 1982, determined that excellent companies had organizational schema which built upon small groups of people, each of which was focused upon achieving very tangible results. Also in 1982, Naisbett described the effective organizational leader of "today" as a facilitator, rather that an order-giver; implying that the order-givers inhabited the ineffective organizations. And, finally, in 1983, Kanter described the characteristics of the most productive organizations as "building blocks":

1. Departures from tradition (i.e., people comfortable with the idea of leaving behind the old ways of doing things.)
2. A galvanizing event (some mutually overcome adversity in the organization's recent history.)
3. Strategic decisions (goals and a direction clearly articulated and embraced by one and all.)
4. Individual prime movers (people who remain steadfast in pushing to achieve the goal or "dream.")
5. Action vehicles (clear procedures for achieving the goals.) (7:22)

All of which returns us to the question, "Could this research help us draw a conclusion about a superintendent's effectiveness in the midst of his/her tenure, earlier than we can if we depend on results only?" Could a superintendent of a school district in which, for example, the above "building blocks," were in evidence be adjudged an effective superintendent? And, at the same time, could a superintendent of a school district in which such characteristics as the above were *not* in evidence be adjudged an ineffective superintendent?

What happens to N. R. Baker if we apply recent criteria to his performance? Suppose we examine Superintendent Baker's 1917-1925 performance with Kanter's 1983 microscope, as though it were 1921, what would we see?

1) Departures from tradition? Baker, we see easily, has a long list which qualifies here: his financial "wizardry," his new high schools, the new secondary curriculum, etc. We could have concluded, in 1921, in the midst of Baker's tenure, that his organization exhibited this characteristic.

2) A galvanizing event? We need look no further than his 1918 3-mill tax levy approval. It's safe to assert that a local tax or budget approval is always a galvanizing event within a school organization and, unless Alabamians mysteriously changed between the 1920's and the 1980's, a 1918 tax levy approval was galvanizing; at the very least. We could have concluded, in 1921, in the midst of Baker's tenure, that his organization exhibited this characteristic which Kanter indentified as existing within productive organizations.

3) Strategic decisions? Hindsight always makes easier the answer to this question. Baker's decision in his first year as superintendent to keep the schools open on borrowed money and go for the tax levy quite clearly qualifies as a "strategic" decision. For no other reason than the realization that, had he failed, the decision would have been, not only strategic, but catastrophic; it seems safe to assert that this "building block" existed within the organization superintended by Baker.

4) Individual prime movers? To answer this question in the plural affirmative seventy years later would require that we change our microscope to a telescope capable of looking far into the past. It does seem the question can be answered in the singular affirmative. There was at least one prime mover on the 1921 scene, N. R. Baker. We ought to be comfortable in assuming he was not alone in this regard.

5) Action vehicles (i.e., procedures for achieving goals)? N. R. Baker would actually become my personal hero if the answer to this question were a resounding "No!" If only it were possible to say he accomplished what he accomplished without resorting to paper work, policies, procedures and practices, etc., we could probably create an N. R. Baker Prize rivaling the Nobel Prize. But, alas, with 130+ schools spread over more than 1200 square miles of mountainous terrain, in an era of treacherous travel conditions and testy telephone equipment, we must suspect he had feet of clay and resorted to "action vehicles," otherwise known as procedures. But, with a hope that springs eternal, we can only say, "We don't know."

Therefore, does the presence of at least three and one-half of Kanter's five organizational characteristics half way through Baker's tenure allow us to conclude that Baker was effective?

Rather than a conclusive answer it seems we end up with more questions . Do *all* of the characteristics which a Kanter, or an Edmonds, identifies have to be present before we can conclude that an effective chief executive officer is on the scene? In Baker's case we are certain of only a majority of the characteristics existing midway through his tenure. Can we draw a conclusion about his effectiveness/ineffectiveness? Or, is effectiveness like pregnancy; one either is or isn't?

The 1950's and 60's studies of successful organizations began to show that worker involvement in organizational subsystems had to be small enough and relatively autonomous enough for the involved worker to *perceive* that his/her work performance was important to the destiny of his/her organizational sub-part. The 1970's studies produced a corollary that the people in these sub-systems *all* had to embrace a unity of organizational purpose if the organization were to succeed. The studies of the 1980's seem to be saying that the people within the sub-parts in these successful organizations not only embrace a unity of organizational purpose but operate within an organizational climate, or "culture." In an effective organization's climate the traditional *modus operandi* with which predecessors caused the organization to succeed are taken as history, valued history but only history; not recipes for continued success, to be repeated over and over again. The thread which weaves a continuity from predecessors to the present within successful organizations is being identified, not as constant *means,* but constant *ends,* mutually embraced; i.e., organizational success by whatever means. (Legal, of course; we are not discussing Wall Street here.)

In N. R. Baker's case, if the schools had to be kept open by borrowing, then borrowing it would be; whether a traditional means or not. If it required that an employee-elected employee become a recognized part of the Board's deliberations in order to foster greater employee-perceived ownership of the district's outcome, then an employee seat on the Board it was; whether by traditional means or not. If, for Baker, more youngsters could receive more education by opening fifteen more high schools, then more high schools it was, traditional achievement score leadership or not. If, as the U.S. Department of the Interior described in 1919, Jefferson County under Baker was ". . . classifying teachers and scaling salaries according to qualifications and teaching success . . . ," and that's what it took to move the County schools ahead; then that's what happened, tradition or not. The *end* for Baker was constant, the means were variable. Effective or ineffective?

Thus far we have examined the effectiveness issue from two views: first, the "results only" view which we have seen becomes something of a post-mortem activity; and second, from a "climate" view which is more of a time-present activity. A third, inseparable question remains, "How might we *predict* that one person will become an effective superintendent if hired to the job whereas another person will not?"

The need to be able to predict effectiveness has always been strong. How does a group of local citizens, entrusted with the responsibility of selecting the next superintendent, make the selection with some measure of certainty? How might the effectiveness research help with this need?

In the past, the selection pattern generally followed was what might be described as a "results orientation." The entrusted citizens would select and hire as a consultant someone who, himself, had been an effective superintendent. The consultant agreed to present three or four persons whom he, in his experienced judgment (and all concerned were almost always 'he's) could do the job effectively. The citizens would then select from among these nominees. The consultant whose nominees proved effective developed a reputation himself and became, in the vernacular, a "mentor."

A strong post-mortem, results only, outlook existed within this process. A nominee's potential for effectiveness in the open superintendency was judged substantially on the nominee's effectiveness to date in other, usually smaller student-sized superintendencies; thus necessitating a "Leap of Faith." Someone who thrived and was effective in a lesser sized organization was assumed to have displayed the characteristics required to superintend a larger student sized school district.

We must hasten to add that people in school systems searching for a new chief executive officer were not alone in making this "Leap of Faith." The president of many a small corporation leapt to the presidency of a much larger corporation because the selecting board also assumed a similarity between the characteristics needed to be effective in a smaller organization and the characteristics needed to be effective in a larger orginazation. The "Leap of Faith" doesn't appear ever to have been proved or disproved by research. For every example of someone who made the leap and was, subsequently, effective in the new and larger assignment; there seems to be a counterexample.

Nonetheless, the process fell into disfavor. Not, I suggest, because it didn't work at a rate exceeding the simple chance of a coin flip, but because it tended to be exclusionary; excluding all but those chosen by the mentor from his stable of prospects. The subsequent process, to which the entrusted citizens struggling to select a successor superintendent turned, has become one of "open application."

Although the elimination of the mentor type consultant may, at first glance, seem a minor restructuring of the previous process, it has proven to be a substantial change. In the "open" process, effectiveness, even the leap of faith effectiveness, too often becomes a secondary matter; subservient to what might be termed image factors. In addition, especially in the now volatile world of superintending, it is beginning to become apparent that an effective chief executive officer cannot be assumed to be driven by masochism.

There seems to have been less than a full realization that a person experiencing the rewards of effective work in one setting will not, automatically, nor even semi-automatically, seek to remove him/herself from a favorable and friendly situation and go looking for trouble simply because the troubled situation advertises its opening; even if the troubled situation is on a larger scale. The status-valued symbol of school district student size, within the profession, seems to be on the decline. It appears that it is being replaced by other, more personal values: family satisfaction, spouse's work satisfaction, etc.

And the smaller, formerly "proving ground" school districts are striking back wisely. In the former mentor era these smaller school districts had something of a working relationship with the mentors themselves. The smaller districts worked with the mentors. They knew the mentor was placing one of his "chosen" in their district for seasoning, so to speak; later to be tapped for a grander assignment. In exchange, the smaller district had a young superintendent who came to them with the endorsement of a respected mentor and, what has often been overlooked, the continued *coaching* by the mentor.

Now, with the demise of the mentor system in many places, many smaller districts are operating on their own. Consequently, they have moved to blunt the attractiveness of the larger districts. It is the smaller districts which have pushed up the superintendents' salaries to rival the larger district salaries, enlarged the superintendent's discretionary budgets, added more "perks," and generally made professional "life" for their superintendent, and spouse and family, more favorable.

In the case of both large and small student sized school districts, or more accurately in all cases nowadays, the superintendent has less, not more reliable indicators on which to rely. Endorsements they can get. Other citizens, both from within the district needing a superintendent and from the nominee's current district will provide endorsements. But, the reliable indicators which might actually and systematically predict effectiveness are less nowadays. The mentor was (is) at least a recognized, respected and experienced superintendent whose judgment had a basis in performance. Past effectiveness in smaller organizations at least offered something which "felt" like a predictor. Endorsers, the idea always haunts the selecting group, may have ulterior motives for endorsing the candidate. They may want him/her off the scene. Therefore, who and/or what is there now upon which a selecting group can rely as predictor(s) of effectiveness?

The desire for predictors, accurate unbiased indicators of the likelihood for effectiveness, is part of the foundation for the study and development of "competencies." Researchers have studied various effective chief executive officers in search of "skills" extant in the effective CEO which are not found in, or not found in the same measure as, ineffective chief executive officers. The research follows a pattern somewhat similar to Edmond's effective schools research described earlier. An effective organization is identified using the sorts of research cited before, the CEO is studied to see if there are "skills" possessed by that CEO which are uniquely similar to other successful CEO's; but different from ineffective CEO's and or non-CEO's.

The idea is then to identify the presence of these "skills" in greater measure in one of the applicants than among the others. The applicant most likely to succeed is the applicant possessing a greater portion of these identifiable "skills." Some of these items found or thought to exist in the effective CEO are not exactly "skills," nor are they "traits," hence the newer word "competencies." In its purest form this avenue of study presents great promise.

One can immediately see the promise if such a process can be made to be independent of a mentor, a "good old boy" network, skin color, gender, etc., and be valid and reliable as a predictor before the fact.

The National Association of Secondary School Principals has invested heavily into attempts to arrive at "assessments" of prospective high school principals, the goal being to develop assessment techniques that *predict* the liklihood of an aspirant's success in the job before the fact. We used them in Jefferson County. Although extremely labor intensive, the NASSP indicators, when used by trained assessors, do have an acceptable level of statistical reliability and validity.

Work is underway in Florida under the auspices of the Florida Council on Educational Management in an attempt to apply a similar assessment pattern to the Florida developed list of administrator competencies. Were all Florida school administrators "competent," it is believed, then the school each administers would be more effective and, thus, Florida's children would learn more.

The application of this thinking at the superintendent level in Florida still has to treat with the fact that less than half of the superintendencies are selected. The majority are elected. The qualifications to run for an elected office cannot, constitutionally, contain a competency certification requirement. Hence, the major focus to date in Florida is upon the principalship, a position upon which the State can place a competency requirement for certification.

The idea of bias-blind, reliable, valid predictors of effective superintendents is still, despite major infusions of effort and money, an idea.

We have examined the question of superintendent effectiveness from three sides. There is the "results only" side which has the inherent "after the fact" difficulty. One has to have *been* the superintendent before effectiveness judgments, based on results only, can be made. One could observe this approach to judging effectiveness is good for gravestones. "Here lies . . . he was an effective superintendent." But, it should be a large gravestone because the criteria used for making the judgment must be inscribed also, perhaps in smaller print.

With the addition of the leap of faith attitude to the results only view, we are able to select prospective superintendents; assuming that effectiveness in one setting is a predictor in another setting. But, it's a leap made longer by the assumption that the criteria are and will continue to be the same in both settings.

The second side from which we examined the effectiveness question is the "in process" side. From this vantage we study an organization predetermined to be effective and distill from it the unique characteristics of the organization. We then ask of another's organization if these same characteristics exist in essentially the same measures and, if they do, we determine that the chief executive officer of the second organization must be effective or well on his/her way toward becoming effective. But, one must be careful not to use this approach when selecting a spouse; the characteristics of love and lust are disgustingly similar.

The third side from which we examined the question of effectiveness is the attempt to predict a prospective superintendent's effectiveness by determining the extent to which he/she possesses certain competencies adjudged to be essential to the effective superintendent. This holds promise as an idea. But, bet no more than the lunch money on it now. Perhaps, in five years, it will be worthy of betting the paycheck; and in a decade, maybe the home mortgage.

Which leaves us with unanswered, and perhaps as yet unanswerable questions: "How do we determine the effectiveness of a school superintendent–after, during, or, most importantly, before the fact?"

Also still with us is the memory of N. R. Baker, Superintendent of Schools, Jefferson County, 1917-1925. Was he effective or ineffective? Let's leave N. R. to his niche on the conference room wall with one last story. The year after N. R. retired, the schools were once again faced with a shortage of funds. There were insufficient revenues with which to finish the school year. N. R.'s successor closed the schools early. (1:68) Effective or ineffective?

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## Two

# The Effective Assistant Superintendent of Curriculum and Instruction

by

William J. Zachmeier

### Introduction and Overview

*Don't aim at success—the more you aim at it and make it a target the more you are going to miss it. For success, like happiness cannot be pursued; it must ensue, and it only does so as the unintended side-effect of one's personal dedication to a cause greater than oneself . . . . (Success) must happen . . . . You have to let it happen by not caring about it. I want you to listen to what your conscience commands you to do and go on to carry it out to the best of your knowledge. Then you will live to see that in the long run success will follow you precisely because you had forgotten to think about it.*— Viktor Frankl (9)

In his discussion of success, Viktor Frankl, the prominent psychiatrist and philosopher, claims that all human beings have a *will to meaning*. Each of us seeks a purpose to our being–to our human existence. If one is confused about or ignorant of that purpose, he is, in a sense, mad. Frankl has had great success in helping emotionally ill people regain their health through rediscovering their sense of personal meaning.

Organizations, as human beings, also have a will to meaning. When the people within the organization understand and purposefully strive toward gaining their common purpose, the organization is healthy and its ways harmonic. When they do not, the organization drifts and may even die. The effective administrator helps men and women *find the natural flow* toward their common meaning *and go with it*. He *plays* the organization as if it were a symphony orchestra of individual musicians. The individual men and women enlisted in that well-administered enterprise make beautiful music as they successfully play separate roles within the common undertaking.

So it is with any human group. Individuals produce goods or provide a service as they carry out their separate roles within an organization. The product or the service is made better as they are well administered. A school district is no different. Sound educational management brings harmony rather than harsh dissonance. After the superintendent, the assistant superintendent for curriculum and instruction is the person most responsible for the concordant action of professionals who work in the school district. Through them, he or she promotes success of the students served. Promoting that success catches the *meaning* and *purpose* for any school organization.

The reader is probably bemused (possibly amused) with the many definitions for educational administration sh/e has encountered. Indulgently, try one more within the context of this chapter. Educational administration is here defined in terms of skills administrators use, the organization in which they practice their skills, the service they realize through their work, and in outcomes of that service with their students:

SKILLS—Educational administrators apply management and leadership *skills* and skills specific to the position.

ORGANIZATION—To maintain or improve the system, structure, style and strategy of the school *organization*.

SERVICE—Within that organization they arrange and improve human resources, staff skills and the information and material resources staff use as they give effective *service*. Promoting student success is the chief service of the school.

OUTCOMES—*Outcomes* of that success are that students now and later in their lives realize their fullest possibilities as individual human beings, preserve our environment for life on earth, and perfect our society.

In this chapter the assistant superintendent's skills, the organization in which he works, and intentions for that work are examined. But before making that examination, consider administration gone awry in a story uncomfortably true today.

In the late spring of 1987, the ocean tug *Break of Dawn* with 1,300 tons of garbage in tow set out on a remarkable odyssey. Her voyage began with the city council of West Islip, New York. Nearing capacity at their public dump, the town fathers of the Long Island community hit upon a scheme that would stretch the life of their dump. They would no longer collect industrial refuse from factories in the town but contract with those firms for the private disposal of what they threw away. Over the next months refuse gathered on a barge moored in Long Island Sound. *Dawn* and her crew were hired to "get rid" of the odiferous mountain of trash and garbage.

They sailed for South Carolina who had promised to accept their cargo. But South Carolina officials changed their minds and dumping was denied them there. In rapid order, the tug called on four other states and three foreign countries. At each place *Dawn* was turned away. Finally, the captain, crew and cargo returned to the harbor at West Islip. A 6,000 mile journey had ended at the place where it had all begun, and an increasingly fragrant tonnage was at last incinerated in . . . Brooklyn.

These modern Ulyssians exemplify not only the growing problem of disposing litter from our throw-away civilization, but organizational inability to deal with social problems. True, West Islip had that requisite of effective organizations—a goal. She wanted to unburden her garbage on someone else. But the system or means they employed to gain that end was suspect from the start. Apparently, no one had confirmed whether South Carolina would, in the final analysis, accept the tug's cargo. When the tug was refused at that first call, it sailed on, hoping someone at some other place would solve its problem.

Even more serious than the systemic breakdown was the ethical question of an affluent city trying to connive with a less wealthy community to accept what it no longer wanted. In the Islip misadventure, the breakdown was caused by an obscurity of organizational meaning and a failure of administration.

The assistant superintendent for curriculum and instruction is the administrator primarily delegated to secure the *meaning* for a school district–that of promoting student success. All other reasons for maintaining a school district pale before that meaning. The meaning for student success is lived out by students now and throughout their lives, coming into the fullest measure of their individual possibilities as human beings, preserving the environment for life on earth for themselves and their children, and perfecting their society–the way they live together. The release of human possibilities is central to any vital commonwealth, and it makes education the central function of our society.

Unfortunately, with application of the industrial model to education early in this century, many people began thinking themselves as the *products* of the school. But matching human beings to so many widgets cranked out on an assembly line is both distasteful and outright wrong. The educational *product* is really the *service* delivered by teachers and clerks, counselors and bus drivers as they each promote student success. By delegation, the assistant superintendent administers those services connected to learning and teaching. At the heart of this position is the responsibility for promoting student success through arranging and improving educational services.

This chapter explores the definition for educational administration given above more deeply as it applies to the teaching-learning setting. In that exploration, it first describes an *educational program alignment model* that relates student characteristics, society and environment to curriculum, instruction, and evaluation.

The alignment model introduces functions normally assigned to the assistant superintendent through his/her job description. Therefore, *job description and beyond* is the second major topic considered in this chapter.

The assistant superintendent's *position specific, leadership and management skills* are treated next. In that it sustains him/her as she/he carries out his/her role, the individual's *personal posture* or belief and care system is also dealt with.

Since so much of the assistant superintendent's work deals with changing service or organization, a section on the *change aspect* is treated next.

Lastly, philosophical questions with which all educational leaders must grapple are ventilated in a final section: *A Small Bird, Calcutta and the City on a Hill.*

## Educational Program Alignment

Precision of thought is enhanced by precision in language. In fact, thought is probably not even possible without language. Toward fostering thoughtful discourse in this chapter, common educational terms are arbitrarily defined. Barry Lopez in *Arctic Dreams* discusses problems of language between visitors from the south. "The Eskimo's different but still sophisticated mind is largely inaccessible without the recourse to his language. And, of course, it also works the other way around. Each for the other is a kind of primitive." Lopez recounts the Eskimo has recourse to dozens of different words for different kinds of snow. His thought and communication are enhanced by shades in meaning. Narrow definitions are more likely than broader ones to give Eskimos and us *le mot juste,* just the right word, as we think and communicate more productively about our professional lives.

Robert Mager helps us with narrow definitions. Mager (15) writes about a young professor who until recently changing his classroom style was a hardly a distinguished teacher. After the turn-around he is questioned by his dean on the cause for new found success. He replies in slightly altered verse:

To rise from a zero to big campus hero
Four questions to answer you'll strive.
Who are my students?

Where are they going?
How should we get there? and
How will I know they've arrived?

**Curriculum**—Mager's questions strengthen the need for more precise language in education in that they intimate separate definitions for curriculum and instruction, two terms most of us use interchangeably. Curriculum answers the question—Where are (my students) going? In its formal sense it is a statement of intended learning outcomes approved by a board of education. In their policy action, trustees in a district have said that students will acquire knowledge, attitudes and skills included in their published curriculum document. Those publications span a gulf from statements listing few broad goals susceptible to many interpretations to describing objectives of tiny learning bits. Each of these extremes is almost useless to the practitioner—the former in its fuzzy ambiguity and the latter in its mechanical approach to the art of teaching.

A moderate document with reasonable goals typified by verbs such as *understand, appreciate* and *comprehend,* supported by manageable objectives hinged on verbs like *identify, demonstrate, solve* and *judge* is the kind of curriculum that can help teachers and administrators set their talents to common purpose. It helps give a school a mission. It directs teacher's ingenuity and creativity.

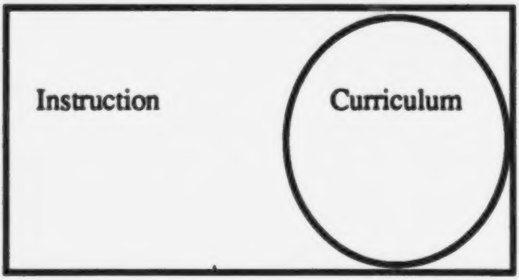
In *Man's Search for Meaning,* classic existential treatise earlier mentioned in this chapter, Viktor Frnkl powerfully makes the case that a human being is mad if he has lost or never developed a sense of purpose in his life. Frankl dedicated his psychiatric approach called "logotherapy" to helping mentally ill men and women articulate their meaning through developing purpose to their lives. He describes people who make themselves well through this successful encounter with meaning. How many are the classrooms, schools and districts that are institutionally insane in that they have no sense of purpose or direction. A sensible curriculum document, developed and implemented through democratic process, can help establish that meaning. Like the healthy man or woman who has a grip on his/her life's purpose, the healthy school founds its institutional mission on a well-thought out curriculum.

**Curriculum and Instruction**—Where curriculum sets the ends, instruction is the means. Instruction answers the third question in the Mager quadrivium—How should we (teacher and students) get there? Like love and marriage in the song from an earlier time—"You can't have one without the other"; curriculum and instruction are separate but mutually dependent. You really *shouldn't* have one without the other.

Establishing separate identities for the two helps administrator and teacher over the nettlesome ends-means confusion of *what* they are trying to accomplish and *how* they are going about it. Marrying the two gives each a vitality they lack when they stand alone. Curriculum without instruction is after all only a sextant one might use to determine location of a stationary vessel in a painting. It is without real life. Instruction without curriculum, on the other hand, is like a sailing vessel hurtling through oceans of excitement without benefit of a sextant. Every school has an instructional program in that something is always happening in classrooms. Not every school, however, bases instruction on formal curriculum.

Curriculum and instruction are related to one another as shown in Figure 1.

Figure 1
Curriculum &
Instruction



Curriculum should set the course for *most* of what happens in the classroom. Teachers are still free to pursue what interests them and their students. But they also move toward ends common to other teachers and students in the school district inasmuch as they base most of their instructional decisions on the curriculum.

**Instruction**—Instructional success moves on the critical interchange between the teacher and his/her students. As a question, how will we get there, truly intimates that student and teacher are the human part of instruction. Teaching techniques, student activities, grouping practices, instructional materials, equipment, facility and use of time, and community resources are its ideas and things. Staffing and relationships staff to staff, student to staff, and student to student complete the human dimension. Vital instruction draws upon the ingenuity of individual teachers as they prepare lessons or as they spontaneously change course during an unexpected moment during a lesson. On reading this laundry list of instructional components one gathers the impression that instruction is complicated. And it is.

**Simultaneous "Tight-LooseCoupling" and Blue Whales**—A mild dose of "founding father schizophrenia" helps the assistant superintendent administer both curriculum and instruction. The strict constructionism and central decision-making of Alexander Hamilton lends itself to administering curriculum. With some pragmatic flexibility, there ought to be but one curriculum within a school district. On the other hand, Thomas Jefferson, with his adherence to the right of states and even individual yeoman to make decisions for themselves, is a better guide for the instructional administrator. With exception of areas that touch on such sensitive areas as human sexuality, most teachers and principals are best left fat in suggestion but spare in direction from the district office on their instructional program. They ought to make their own decisions about how to teach and what to use.

The assistant superintendent should spend energy on devising the best possible curriculum, convincing teachers to base their instruction upon it, and supporting instruction in a variety of ways discussed earlier in this chapter. In illustration, a district ought to have but one reading curriculum formally adopted by the board of education as its policy—these are the reading skills we intend students to learn. Teachers and principals should devise a myriad of different instructional approaches to help students gain those ends. Painting analogy, a thousands flowers can truly blossom in a single meadow.

Peters and Waterman (16) examination of the best run American companies describes this Hamilton-Jefferson balance as*simultaneous tight-loose coupling*. They concluded that many profitable enterprises had clearly enunciated and widely accepted missions or ends, fleshed out with a reasonable direction from on high, allow their middle managers to create their own means to gain those ends.

A *tight-tight* relationship between top management and people in the field allows little room for creativity and ownership. The Soviet economy, with its emphasis on State planning and central decision-making, comes to mind as an example of "tight-tight" administration. It tends to throttle effectiveness. Those random school districts that have taken a tight-tight tack usually have experienced teacher and parent rebellion with the result of the board firing the inept superintendent who tried to install such a system.

Conversely, a *loose-loose* arrangement borders on anarchy and invites catastrophe at the bottom of the ledger sheet. American schools are often subject to *loose-loose coupling* in that little central direction on either ends or means is excercised over the classroom. Teachers in such a setting are free to pursue the goals they set for themselves within an instructional program that they design. Collectively, the district has neither a clear idea of what it wishes students to learn nor a handle on what is happening in individual classrooms. It really is a district of schools rather than a school district.

Simultaneous tight-lipped coupling for the educational establishment blends the traditional desire of teachers to make decisions for themselves and the need to establish common purpose to their work.

In *tight-tight* zealousness, the occasional administrator sometime believes that no instruction should take place unless it is included in the district's curriculum guide. Putting aside its naivete, that misguided ambition is both undesirable and impossible to attain, so why try to impose it? Encourage imaginative and dedicated teachers to go beyond the curriculum as they explore their enthusiasms, their students' interests, and unanticipated events.

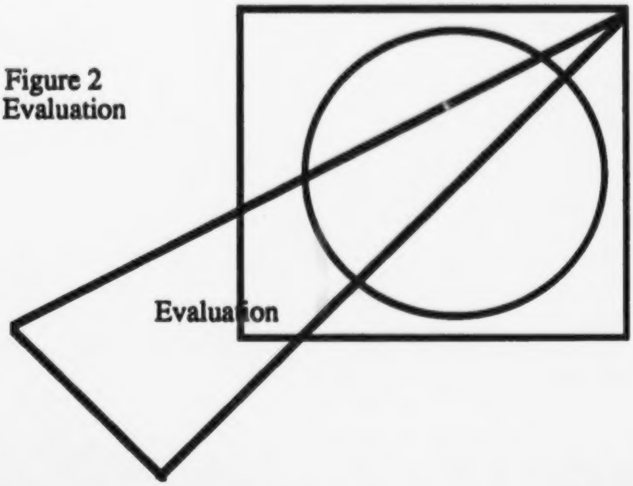
A wonderful illustration of instruction exceeding curriculum took place in Monterey Bay schools on California's central coast during the winter of 1987. Changes in ocean currents brought an upwelling of cold, nutrient-rich water from the Southern Hemisphere into the Bay. Tens of millions of shrimp-like krill accompanied the plankton enriched water. And then, the wonderful event. Dozens of blue whales moved into the Bay to feast on the tiny krill. Hundreds of people were drawn to the waters-edge to catch sight of the 90-foot long blues, the largest animals to have ever inhabited planet Earth.

Any assistant superintendent who would wish to impose discipline on teachers and not allow notice of this rare occurrence in their classrooms because it was not included in the curricu-lum is a martinet. Since foolishness fortunately did not prevail, students studied the marvelous visit of the blue whales.

**Curriculum and Instructional Program Evaluation—** The fourth leg in Mager's poem deals with evaluation. How will we know they've (the students) arrived? It is pictured in Figure 2.

Sound curriculum and instructional program evaluation really answers questions as it raises opinion to the level of judgment founded on data. Desirably, it encourages people to improve curriculum and instruction. All too often, however, the evaluation conducted in American schools reminds one of the farmer who wanted to do some target shooting. He leveled his rifle on his barn wall, pulled the trigger until he exhausted the bullet chamber, walked to the wall and . . . drew bulls-eyes around the holes. This "ready, fire, aim" mentality might work for the enthusiast who wants to feel good about his supposed marksmanship, but it doesn't serve effective school administration. Ready, aim, fire, . . . Improve" is the better rubric for educational evaluation.

Figure 2
Evaluation



While evaluation has existed in education for some time, only since enactment of the Elementary and Secondary Act in 1964 has it become the equal of curriculum development and instructional program improvement. With ESEA, the federal government set out on a policy of improving the broad sweep of education. Up to that time it had contented itself on vocational preparation of people in agriculture or the trades for the most part. Since the piper usually calls the tune, Washington required specific learning objectives and subsequent means to determine degrees of success in meeting these targets as she dispensed her

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largess. Because of its later arrival, evaluation of the three educational leadership functions is probably the one practiced less well.

In the alignment model, evaluation cuts across student characteristics, curriculum and instruction in that it answers questions about each. How well did students learn skills outlined in the reading curriculum? Where do individual students experience problems in mathematics? Has parent attitude toward junior high schools changed during the last few years of district efforts to improve that level of education? Do experts in the field agree with objectives dealing with computer literacy integrated into the science curriculum of this district? How do students feel about the school?

**Student Characteristics**—The next point in discussing the educational program alignment model returns to the first Mager question and the one least attended to in our current reform binge—the rush to excellence. Who are my students? Student characteristics are depicted in Figure 3.

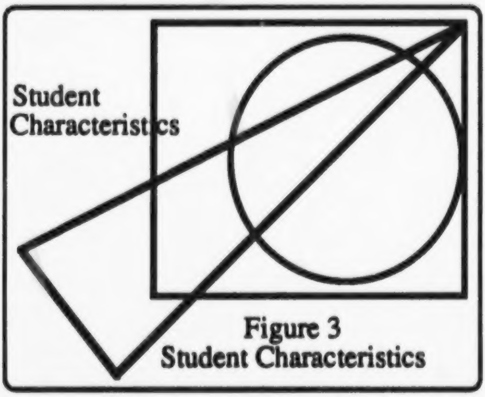


Figure 3
Student Characteristics

Christine Bennett (1) usefully lists learning style, learning skills, level of achievement and aptitude, motivation, self-concept, special interests, physical characteristics, peer relations, family conditions, beliefs and values, and sense of ethnic identity as those characteristics to which we should pay attention. Bennett's is an excellent overview of student characteristics and how they ought to affect curriculum and instruction. Differences among students are more often honored in the breech when concocting curriculum or preparing instruction and not in actual practice. Considering student differences at the time of curriculum development or instructional program improvement cannot help but redound to the benefit of students.

Consider the variety among learners. Sometimes obvious, other times less, it always affects student success. A boy in kindergarten may want to move around almost all the time or he may sit quietly. A girl in the primary grades may need a good deal of structure from her teacher or she may wish to study independently without close supervision. A high school youth may want a great deal of interaction with her classmates or study alone.

Extending the examples. Each of us seems to have a primary learning modality. Approaching a student through his vision, his hearing, even his touch or smell recognizes differences in modality. Peer attitude toward school goes a long way in keeping a youth in high school or hurrying him to drop out. One student from a large family learns well in a noisy, busy environment; another does less well because he needs quiet to concentrate. An 11-year old from another country who already has five years of schooling does not need the same circumstances to learn English as another 11-year old who has had virtually no schooling in his native country. Differences among students is like a kaleidoscope.

**The Ends of Curriculum and Instruction**—Figure 4 introduces the last factor in the alignment model—the outcome of student success. True, promoting student success is the primary school service. But that service needs focus toward a higher outcome or it wallows in a Frankl-like miasma of confusion or ignorance about purpose and meaning. Student success should contribute to students gaining their fullest possible measure of individual potential, perfecting society, and preserving the global environment for life. Since promoting student success is the prime service of the school, the first outcome is also individual—that of a single learner reaching the fullest measure of his possibility as a human being. Giving meaning to student success, includes full realization of the intellectual, physical, emotional and ethical qualities of ***human-ness***. In a negative example, an effective terrorist was probably a successful student in that s/he learned and applied well the methods of senseless destruction. But the terrorist is a crippled human being. S/he has failed in grasping the first outcome of student success, that of practicing human ethics.

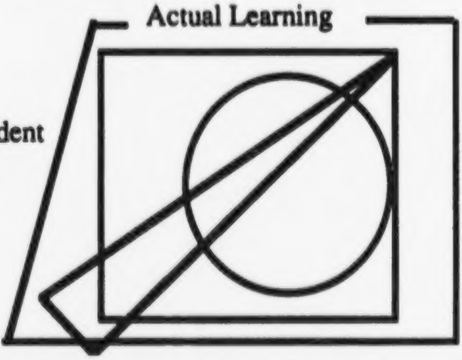


Figure 4
Actual Student
Learning

Reflect upon the second outcome of student success, that of perfecting society. People exist in a society, and educational administrators must deal with both present and future circumstances of that society. Closer to home, the assistant superintendent needs to relate curriculum and instruction to the expectations of the school district patrons—students' parents and other citizens. In a business analogy, their *satisfaction* with the school product—services of talented staff members—affects school success. To a large measure, the assistant superintendent's success is determined by "giving folks what they want."

Community shifts might also trigger changes in curriculum or instruction. Creation of new employment opportunities and elimination of others, a different ethnic mix in the community, or increasingly wide-spread use of micro-computers are representative considerations that could require alignment adjustments. An example of how changed social circumstances affect school offerings is tied to the rise of the number of mothers working outside the home. Providing child care services for all children through their schools is a natural response that has not yet happened throughout our society.

But responding to what people want is only part of the equation. Harry Truman once observed that a politician gives the people what they want and a statesman what they *will* want. Curricular and instructional orientation to the future are much more difficult to come by than matching the school offerings to current conditions. For example, competition is a fact in our society. A man or woman who has not learned these skills required by a competitive environment is hard put to economically succeed today.

On the other hand, growing interdependence among people also demands more than the schools usually deliver. A broader interpretation of success in economic , social and political settings strongly suggests that all people need to cooperate as well as compete. Students need to complement their competitive repertoire with one that stresses skills of cooperation. That demand for Trumanesque statesmanship might hang on rhetoric without an assistant superintendent glancing an eye to the future and its requirements for cooperation. That leader will introduce outcomes dealing with cooperation into the curriculum and will make sure that instructional program changes give students chances to learn cooperative skills.

The third outcome of student success is preservation of our environment for life on earth. The phrase *lease on life* catches the meaning well here. We are mortal, and we live in this place for only a little while. While we do, we are *lessees* of the earth, not its owners. We as stewards and future generations are served best when we use the earth intelligently, husband its resources, and save the environment for those who follow us.

**Summary of the Alignment Model**—The alignment model relates the structure in which the assistant superintendent must balance his/her work. Current student characteristics, their possibilities for becoming complete human beings, society now and yet to be, and the life environment are the matrix for the assistant superintendent's work. More particularly, alignment addresses curriculum that describes intended learning outcomes, instruction that contrives circumstances to move a variety of students to successfully gain those outcomes, and evaluation that examines effects and recommends change in curriculum and instruction.

Staff development, instructional support and staff evaluation round out the alignment model. They are the trace horses. No alignment model is complete without their inclusion. They are treated at moderate length later on in this chapter.

## Beyond the Job Description—Consigliari, Coach and Cleric

**Job Description**—We move next to the responsibility usually carried by the assistant superintendent. In most school districts, those responsibilities are named in a job description. Ideally, the job description:

- Titles a position
- Lists the major responsibilities in the position
- Identifies the *superior* administrator to whom the person filling the position is responsible, and
- Names the other positions to which the person relates.

Care in explicating title, responsibility and relationship helps a person carry out his individual work more effectively and efficiently. Equally important, it *places* the position in the hierarchy of superiors, peers and subordinates. Much conflict rises from ambiguity over what a person is expected to accomplish and how he should relate to the other people in the organization. This function of the complete job description anticipates relational and expectative conflict among people and helps to reduce it or to eliminate it altogether. A typical job description for the assistant superintendent follows:

## A Sample Job Description

## Assistant Superintendent for Instruction and Curriculum

Reports to the Superintendent

Supervises Directors and Coordinators assigned to the Division of Instructional Services

Relates to the Business Manager and Personnel Director as peer and School Principals as member of the Superintendent's staff

Basic Function—Administers the district's educational program

Major Responsibilities

1. Coordinate district curriculum development and implementation
2. Organize new instructional programs and improve existing programs. Develop or revise instructional guides
3. Assess student success through a variety of evaluation approaches
4. Administer district staff development activities
5. Administer the district instructional media center and service
6. Select textbooks, other instructional materials and instructional equipment.

7. Plan new educational facilities or improvement of existing facilities
8. Assess changing student needs, staff and parent opinion, community demography and other considerations as they impinge on curriculum and instruction. Recommend action to the superintendent
9. Collect information on pupil registration, attendance and other matters and transmit those data to the appropriate district office or outside agency
10. Draft board policies and administrative regulations dealing with curriculum, instruction, and pupil personnel
11. Consult with school principals on administration and their instructional programs
12. Represent the superintendent with local and state agencies as directed
13. Prepare reports for the board as required or directed
14. Carry out other duties as directed by the superintendent

The above job description meets each of the requirements for sound human resources administration in that it relates the position to others and lists responsibilities for the person filling it. But if only those public responsibilities were doggedly held to, expectations for the assistant superintendent would tend more to management within a bureaucracy rather than toward leadership in a professional organization. The complementary qualities of leadership and management are discussed later in the chapter. For now, however, consider roles that gravitate toward leadership and that are not easily included in a job description—those of the cleric, coach and consigliari. These roles of the assistant superintendent go beyond the job description.

**Cleric**—In carrying out the cleric's role, the assistant superintendent acts not as a minister or rabbi but almost like a shaman in a native culture. A major expectation for a shaman is anticipating the future and preparing his people to deal with it. Not that the successful administrator should inhale fumes from a sacred fumerole and chant out his/her vision of things to come, but the effective educational leader must have nerve endings trailing out in many places to pick up information important to the school district. Reading widely in the education literature and outside it, attending educational conferences, taking occasional workshops outside education, visiting other school districts, talking to people who have a handle on the future are some ways the assistant superintendent carries out this clerical or shaman role.

**Coach**—The role of coach is a little more straight-forward. While that role is usually present in the rhetoric that surrounds the assistant superintendency, it is sometimes lost in actual practice. In the athletic sense, a coach teaches a team. Through observation, teaching and sometimes harrangue, the coach helps a swimmer detect a flaw in his pool entry or a gymnast broaden her repertoire on the floor excercises. In this sense, the baseball player delights his manager when during a coaching session he exclaims, "Yes, now I see what you mean. I'm going to turn my left foot out more in the batter's box, and that will improve my swing."

As coach, the assistant superintendent wanders around schools under his/her direction, observes teaching and learning, talks with teachers and students, watches principals carry out their many duties and, through it all, builds impressions from what is seen, heard, and felt. And then begins the work as coach. Avoiding direction to the principal, the district administrator stimulates reflection about practices in the school through the questions s/he raises. Ideally, s/he causes the principal to "improve his/her *own* swing." The antithesis of coaching has the assistant superintendent leave the principal with a perfunctory, "Keep up the good work." That shallow closing to a school visit does nothing to improve what is happening in the school.

Administrative coaching is similar to the clinical supervision promoted throughout the country in the last decade. The assistant superintendent can use the work of Cogan (6), Goldhammer (12) and other protagonist in the clinical supervision movement to help the principal get better at his work. Even more germane to the clinical supervision of administrators is the work of Dwyer and Barnett (8) at the Far West Regional Laboratory. In the last few years they have developed peer coaching techniques principals can use to help one another get better at their work. An easy but delicate step to assistant superintendent performing the same service for a principal.

**Consigliari**—Mentioning consigliari as a role for the assistant superintendent requires fast foot work to save it from an unintended *cosa nostra* analogy. Robert De Niro advising Marlon Brando on the workings of their organized crime family is only an approximate picture of assistant superintendent *qua consigliari*. Where it departs from strict analogy is that the assistant in *good ethics and morality* counsels the superintendent on all matters dealing with teaching and learning.

In recent times the nature of the superintendency has more and more had people filling that position deal with a world external to the school district itself. The school board as it develops policy, activist parents as they attempt to influence the schools, local and state legislators with power of the purse strings take more and more time away from the superintendent —time that was formerly spent as educational leader of the district. S/he is less able to deal with the central purpose of schooling—promoting student success—as s/he tends to political realities. Therefore, s/he must depend on a trusted lieutenant, not just to advise him/her on things instructional but often to assess situations, make decisions, and carry them out. Extending to a classical connection, the consigliari role has the superintendent face outward to deal with political forces and the assistant inward to administer the instructional program. Working together they are not two-faced but truly the Roman god Janus facing in two directions at once.

So—the assistant superintendent's job description satisfies many bureaucratic requirements. But that description extends beyond that statement to roles as cleric, coach, and consigliari. Those roles take into account new realities of an increasingly complicated world.

## Service, Organization, Skills and the Assistant Superintendent

So far we have examined the assistant superintendent from the positional point of view reflected in an extended job description. But the position is not static and alone; it moves within an organization. Mechanical comparisons of "cogs in a machine" come immediately to mind when one describes roles within an organization. Better to reject that engineering comparison and use a biological one instead. An organization of people is, after all, organic as an animal rather than metallic as a diesel engine. As brain, heart, skin and kidney carry out their assigned roles in the body, they are at the same time independent of one another, yet mutually interdependent. An organ separated from its body can live under artificial conditions for a while, but it eventually dies. It can have no life of its own but only as it functions with other organs. So it is with the assistant superintendent. Like our organs, s/he sings his/her destiny in a choral setting, not alone as a solo singer.

At this point I face a dicey problem I call the *Einstein Dilemma.* That great thinker set his considerable abilities to fashioning a definitive field theory of all forces in the universe in the last years of his productive life. He failed in that desire to crown his life work with a model that would order the universal forces.

With far less talent than Einstein brought to bear upon his problem, I attempt to trace a model for educational administration. My model is hardly an *incontestable* one, but a tentative one that fits the purpose of nestling the assistant superintendency into a school district setting. The model is expanded from one discussed by Peters and Waterman (16). Their generic organizational model is modified to an educational setting. Since my focus remains on the assistant superintendency, I only sketch the parts except those that deal with the assistant superintendency itself. The three principal elements in the model—service, organization, and the individual administrator—are presented in Figure 5.

**Service**—Organizations in our society are expected to produce some social benefit in the form of goods produced or services given. A tangible object that is grown or manufactured or service given to a client are the benefits organizations produce in our society.

In our post-industrial society, service has become more important than goods in terms of economic worth. Even many firms that build and sell machines recognize service rather than objects as their more important product. IBM for all its vaunted production of typewriters, computers and other business machines considers the service it gives its customers its chief product. Those services contribute more to their economic success than all the machines that march forth from their factories.

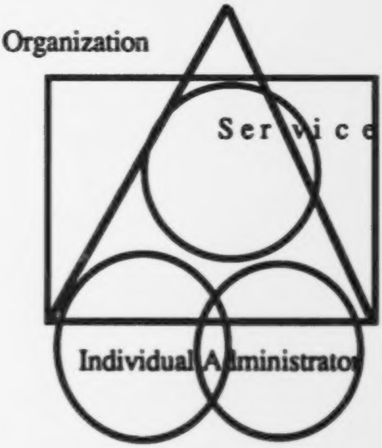


Figure 5
The Educational
Administration
Model

As depicted in Figure 6, school service promotes student success. Staff members as human resources and the skills they practice are the basis for the service aspect in the model. That base takes in all those people in a district who contribute to school service. They excercise their skills through the use of material and information resources. Some material resources are facilities, equipment, and textbooks. Information resources as science fact or theory, new teaching strategies in art and demographic data about a possibly changing community round out the service element in the educational administration model.

Well prepared, committed people provide good service. In a school organization those people include teachers and clerks, administrators and bus drivers, psychologists and custodians. Those talented people ( human resources) in an organizational sense set their talents to using information and material resources available to them to provide services. Service as product of the school is always present in the combination of human resources, skills, information and material resources. However, its efficacy turns on productive interactions of the variables as well as the organization in which they are practiced.

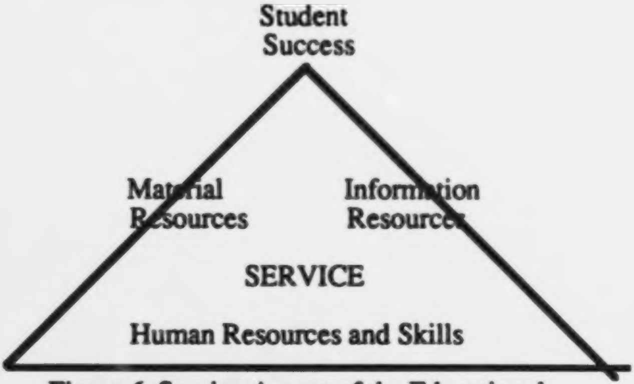


Figure 6. Service Aspect of the Educational Administration Model

**Organization**—Since school services exist within the organizational setting of a department, a school or a district, *organization*—an arrangement of individual service givers—becomes the second major element in the administration model. Aspects of the organization include structure, system, strategy, style and culture/climate. They are pictured in Figure 7.

Structure and system are those parts of an organization more commonly known. Mission statements, organization charts, program trees, performance goals-objectives, policies and regulations are some of their manifestations. Continuing the organic analogy, they are the skeleton and the circulatory system that allow shape and liquidity to the organization. They are important in their directing or binding effect. They relate different positions and explicate expectations. They promote flow of information and allocation of resources.

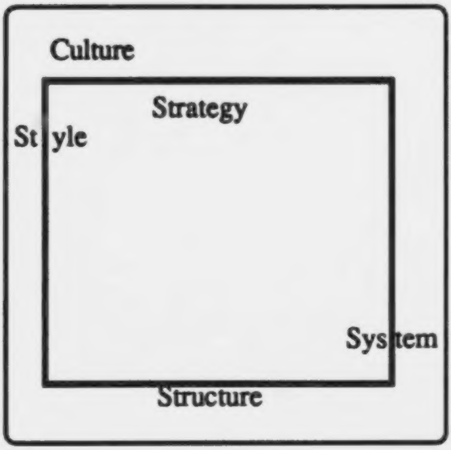


Figure 7.
Organizational
Aspect of the
Educational
Administration
Model

Strategy is harder to define. It is both energy and the vehicle that focuses organizational direction. Strategy can include long-range plans and sales techniques. Research and development efforts, population estimates and environmental projections are also facets of strategy. Where system and structure help the organization deal with itself, strategy places it within a community or external context.

Continuing the organic analogy, one might liken strategy to our brain processing the signals gathered by body senses. Nerve endings in eyes, ears, nose and skin gather information for the brain to interpret and determine subsequent action. Strategy illuminates both stability and change in the organization. It positions the organization for both current and future success.

Style is really a child of strategy, system and structure. It is the personality perceived by both the people who make up the organization and the outside world. Organizations have personalities that are stodgy or progressive, favor risk-taking or caution, focus on client satisfaction or bottom-line profit, and show care for the people who work within them or exploit them indifferently. The style of an organization reflects an esteem for itself—hopefully, pride in accomplishment and confidence in its prospects.

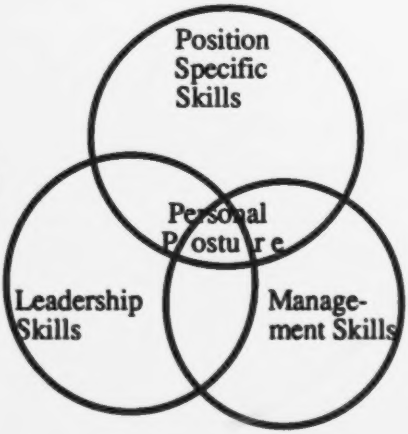
The last dimension of organization is culture and climate. They are the most elusive of all to depict. Deal and Kennedy (7) write convincingly that the two elements have a chilling or warming influence on people who work in an organization. They define culture as "the way we do business (in this outfit), who (we) are and what (we) stand for." The shared beliefs, values, stories and heroes that cast people together almost as an organizational *meta-individual* make up culture. It is almost anthropological as it arranges the *folkways* of people. Whether people communicate openly or hide information, treasure or discount relationships, deal supportively or destructively with one another are reflections of organizational culture.

Climate, on the other hand, takes in the way individuals feel about "working here." Where culture centered on the *we*, climate focuses on the *I*. Climate is the *fit* or *mis-fit* between what is important to individuals and what is important to the organization. How appreciated do I feel? Do they pay me enough for the work I do? Will my boss help me advance my career? Do I trust my secretary? These are all questions that return to issues of climate. Climate delicately balances individual goals and organizational priorities.

## Individual Skills of the Assistant Superintendent

So far our discourse on the educational administration model has considered the collective considerations of service and organization. Excercise of skills by an individual administrator is often the crucial factor in determining success or failure to an organization. Treatment of these individual administrator skills is so central to the intent in this chapter, that it is dealt with separately from service and organization. The individual administrator brings skills peculiar to his/her position, more generalized leadership and management skills, as well as his per sonal dispositions to bear on service and organization. S/he deals with both the school organization and forces outside the organization. The individual administrator element of our model is portrayed in Figure 8.

Figure 8.
Individual Administrator Aspect of the Educational Administration Model



In all the history of the world when more than two human beings lived together, successful enterprise usually depended upon successful administration. Effective service and efficient organization are abetted where administrators manage, lead and practice skills well that are particular to their positions. In a talk John Walton of Johns Hopkins University gave, he defined administration as "the adroit manipulation of personnel." That definition riles many people. But its impersonal chill is warmed when one adds ". . . to gain important human ends through ethical means."

**Position specific skills of the assistant superintendent**—We come to the topical center of this chapter—skills specific to the assistant superintendent for instructional services. Those skills include designing curriculum, supporting instruction, organizing new instructional programs, improving existing instruction, coaching and developing staff, and evaluating conditions and effects of the school. While not an exhaustive list, they take in the majority of what the administrator would wish to install in a *district system and structure* to support successful teaching and learning.

The assistant superintendent practices his/her position-specific skills in tandem with other professionals in the district rather than in isolation. Their cooperative practice is akin to the fingers and opposing thumb of the human hand. They *complete each other*. The assistant superintendent and other administrators are thumb and fingers (hopefully, not all thumbs) in carrying out these functions. And, while each function is described below in some isolation from the others, they are also fingers and thumb; they do not productively move other than with one another.

*Developing Curriculum*—As described earlier in the chapter, curriculum is a statement of intended learning outcomes desirably enacted as policy of a board of education. That definition catches both the educational and political implications of worthwhile curriculum design and implementation. In an educational sense, a curriculum document is, after all, only a static sheaf of papers with potential useful scribblings. Through a political process, it becomes alive when people are enlisted to use it as a basis for making instructional decisions.

In its narrowest, most useful interpretation, curriculum should answer questions oriented to ends:

- Who do we want our students to become? Why?
- What do we want them to learn? When? How well?
- Who do they want to become? What do they want to learn?

Some answers to these questions change while others remain the same. What is important is that a district through leadership from the assistant superintendent take a curriculum position on them, insist that educators use that curriculum position as one basis for conducting instruction, evaluate programs against those intentions and open the curriculum as they make it vulnerable to new ideas every few years.

Curriculum development models are legion. Tyler (19) and Alexander (17) represent classic models. Those models are useful from a theoretical point of view, and they do guide sound practice. But since they are uniformly presented as the boxes, circles and lines of a well-ordered flow chart, they rarely catch the excitement of curriculum development. I suggest the story of Thomas Jefferson, the Continental Congress and the colonial legislatures in their creation of the Declaration of Independence as a better lesson in curriculum development. Forgive my license with historical fact in this little fable.

Having come together in the spring to consider next steps they might take in the growing crisis with Great Britain, the Congress began moving toward declaring independence of the colonies from the mother country. After haggling among themselves for some weeks on just what they might say to separate themselves from the British and not getting too far in a continuing conversation that included upwards of 60 delegates, the Congress took the step that Americans have always used to resolve problems that involved large numbers of people. They appointed a committee to draft a statement of separation. Ideas expressed in Congressional conversation up to that point obviously helped the committee with carrying out their charge.

As with most committees—Benjamin Franklin, Samuel Adams, young Jefferson and a few others—harrangued among themselves for days on just what they might recommend to their parent body. While they agreed on the outcome, they could not settle on the wording for their document. Finally, late one muggy evening in a Philadelphia pub, Adams peevishly turned to Jefferson and growled, "Look, I've listened to you for weeks. If you're so all blamed smart, you write the darned thing." These particular founding fathers had pushed to the committee limit. A committee can suggest and react; it cannot, however, except under extreme burden, produce anything worthwhile. And even then the product is often still-born in mediocre compromise. The committee, in this case, had carried out part of its expected function. It had clarified discussion from the Congress and given direction to a member to bring them a draft they might consider.

Not given to running from challenge, Jefferson returned to his local digs, first reviewed committee suggestions, next communed with his philosophical forebears, Locke and Hobbes, lastly abandoned himself to inspiration. He delivered himself the timeless Declaration in a single night.

Franklin, Adams et. al. had arranged a breakfast meeting that late June morning. Jefferson presented his work, whereupon Adams pounced upon him. That stalwart of liberty objected to the Virginian's idea of freeing the slaves. He observed that it was their purpose to sunder bonds with the old world and not to inflame the South to the point where she would remain faithful to Mother England. The committee, tragically, postponed resolution of the slavery issue to their grandsons. But to their credit, they demonstrated the power of a committee to specify what ought to appear in a document and then react productively to what is put before them as a draft.

On July 1, the Congress received recommendations from their committee and altered the document only slightly. John Hancock signed the Declaration on July 2 with his characteristic flourish and invited his colleagues to add their names ceremonially on July 4, 1776.

However, since the 13 colonies had reserved real power to themselves, Hancock enjoined the delegates to persuade their separate legislatures to support the intention to "declare independence." Some months later, members of the Congress completed that task from Boston to Savannah. The colonial legislatures in declaring themselves *state* legislatures had taken a policy position. The Congress now formalized independence by sending the Declaration to George III as letter. Before that time, the King had undoubtedly learned of their enterprise and his anger probably quickened his slide into madness.

This little parable illustrates the educational content of curriculum development—Jefferson's reflection on the thoughts of his colleagues and reference to his own ideas and those of his philosophical progenitors. It comments as well on the political process—accomplishment in committee, the Continental Congress, and the separate state legislatures. The need to incorporate ideas from a variety of people through what they have to say as well as what they have written enriches curriculum and makes it more complete as an educational plan. The imperative to involve educators, students and parents in its development portrays productive involvement of individuals and groups. "What do you think?" when said to a teacher is more than an invitation to express opinion on a draft, it is the first step in persuading her/him to use the final statement.

The kind of formal curriculum arrived at through the process described above is not always present in a district. But since few teachers are completely oblivious to ends to their teaching, an informal curriculum of intended outcomes is almost always present. Unfortunately, the informal curriculum of individual teacher expectations for students does little to further the collective work of the school organization. The assistant superintendent can, over time, fuse individual teacher ideas from their informal curriculum into the formal district document.

Effective criteria used to judge the quality of curriculum documents and the process used to produce them follows. Those criteria given in Box B suggest how a curriculum ought to look and how it ought to come by. These ideas are valuable in specifying the contents and appearance of a document and in planning the work of individuals and groups.

### Box B—Assessing Curriculum Documents and Development

*Process Criteria*

A. The development process was well-planned and used appropriate human and material resources. It was open to new ideas from many sources.
B. Cooperatively developed specifications guided the writing process. Teachers and administrators helped state those specifications and the school board commented on them.
C. A wide review of curriculum drafts took place. Attention was given to suggestions for revision as drafts evolved. Not only teachers and administrators but parents and students had a chance to express their ideas. A response was made to each suggestion.
D. The board of trustees approved the curriculum as their policy.
E. The curriculum is linked to staff development, teacher evaluation and supervision.
F. Instructional program support (materials and equipment purchases, facility changes . . . )encourages use of document by teachers.
G. The district plans to evaluate the document after a stated period of time, and curriculum revision may happen as a result of that review. The review cycle takes State textbook adoption and State model curriculum standards into account.

*Product Criteria*

A. The language is clear. The length is reasonable. Format is attractive and functional. Illustrations are appropriate and useful.

B. The school board has adopted educational goals that reflect the beliefs of the community as their policy. That statement is included in the document. The sentiment of those goals is reflected in the document.
C. A point of view about learning and teaching for that subject area is included in the document.
D. Intended learning outcomes are the main body of the document; they are stated as objectives. However, other important ends as values and attitudes not lending themselves to behavioral expression are also included. Outcomes are relevant to students and significant to society. They are important, attain able and future oriented.
E. Outcomes dealing with personal development, social competence continuing learning skills, and job preparation are appropriately included.
F. In content areas like science and social studies, knowledge is organized around units, important concepts or major ideas.
G. Suggestions about instructional materials, teaching techniques, student activities . . . and tools for diagnosing student readiness, monitoring pupil progress . . . accompany the curriculum document.
H. Provision is made for differences in learner growth, development, style and ability. Attention to the principles of learning shines through the document.
I. The curriculum is balanced, integrated and continuous.
J. The curriculum is aligned with district and school level program evaluation.

**Supporting Instruction**—Whether or not a curriculum formally adopted by the board of education exists is really immaterial to instruction since it is always present. Instruction is strengthened by use of formal curriculum, but it goes on regardless. Students and teachers are doing something , and learning for the good or the bad is never absent. Therefore, instructional support is a major function of the assistant superintendent.

"Put your money where your mouth is" is a crass but accurate way of describing instructional support. That support starts from providing the *things* of teaching as textbooks, materials, educational television, equipment, facility and furniture. It continues into the funding of *human resources* as aides and clerks who assist teachers. More imaginatively, instructional support extends to contriving circumstances where educators can deal with new *ideas*.

Organizing a teacher center where people can create instructional materials not commercially available, copy the creation of another teacher, get a computer to do some important word processing, or examine supplementary textbooks to classes are examples of instructional support at the district level. A place and a time for one teacher to chat with a colleague facing similar problems and opportunities with his/her class is great relief for professionals so isolated in their work as teachers are.

"Putting one's money where his mouth is" is the logistical side to the rhetoric of providing sound instruction. When a district board solemnly intones the importance of students learning to use computers in this information age, they need to provide the wherewithal of computer literacy in software, hardware, appropriate space and furnishings, provisions for security and all the other *stuff* of instruction. Ordinarily, the assistant super-intendent is the chief supply officer in that particular effort. In-structional support has the administrator make available the material and information resources skillful people need to carry out their work.

The instructional support function of the assistant superintendent is a good instance of his/her living out the educational administration model. Consult Figure 1, the service dimension of that model. Effective instruction is the primary service of the school district. It is carried out overwhelmingly by teachers. Arranging and ordering teachers' skills, their material resources and their information resources sit right in the lap of the assistant superintendent. In a military sense, s/he acts strategically as a curriculum developer and tactically as an instructional supporter.

**Improving Instruction**—I recently asked a group of new principals if they could name the three teaching strategies that most teachers have in their repertoire. They quickly and correctly rattled off—lecture, class discussion and directed reading. With a twinkle in his eye, one young man added *movies*. He went on to report that he was trying to get some of his teachers to use films more productively than merely switching on the projector. He was carrying out his most important function as school principal—that of promoting student success through improving instruction.

An undeniably important aspect of educational administration is improvement of the program. Since instruction happens in schools and not at a district office, the principal carries the primary responsibility for its administration. But since instructional improvement theoretically should include most of the people in a district, the principal shares that function with the assistant superintendent, teacher, psychologist, media clerk, et. al.

Etiology of the word *principal* is an interesting commentary on how the industrial model captured education. Sometime in the last century when schools became large enough to require one teacher to take on responsibilities for the entire school, the position of *principal teacher* was established. The very title connotes that continuing and immediate concern for student success was vested in the position. As *efficiency* caught on in education, the noun was dropped from the title early in this century. The almost universal application of the industrial model of management to social organizations caused us to drop the more important noun and retain its gramatically less important adjective. In many places that semantic incursion shifted primary concern of the principal from promoting student success to managing school budget, maintenance, personnel and like functions. A strong bias in this chapter is that the principal must both promote student success and manage a school.

Logic and recent rhetoric in the profession suggest that principals to a man and woman embrace the role of instructional leader. Some evidence points to the opposite however. Many principals do not see themselves as instructional leaders, or if they accept the role, they perceive themselves less effective in carrying out that role than the management function assigned to them (Pintner). The assistant superintendent must therefore either establish or strengthen the district cultural belief that the principal is the instructional leader in his/her school. Having established or reinforced the expectation of leadership, the district administrator can coach most, coax some, and coerce a few principals into bettering their instructional leadership skills.

H. L. Mencken once observed that for every complicated problem, there is a simple solution, . . . and it's wrong. Instruction is a complicated affair; changing it isn't usually easy. People, ideas and things are the three broad categories that take in most of the components in the complicated instructional equation. An administrator is advised to consider each component as a candidate for change before electing the ones s/he will actually set about to improve. How many times has the naive leader removed a wall between two classrooms, expected the millenium to transpire and discovered that s/he had promoted student success not a whit? Without shared ownership of changes, improvements will not occur.

The *people* category in instruction include:

*students* (obvious enough, but more than just their numbers to include the variety of student characteristics)

*student organization in the school* (the first grade, the primary group in a nongraded structure, the sophomore class . . .)

*student grouping practices in the classroom* (bluebirds, the *A* team, a reading group organized for a few weeks . . .)

*Teacher aides, classroom volunteers, and other people offering instruction.*

*staff organization* (the English department, teachers in the north pod, members of the Adams teaching team . . .)

*parents* (as they help students at home)

*special roles* (lead teacher, mentor, career teacher, school committee chair . . .)

*school culture* (adult beliefs and expectations, student beliefs and expectations, working relationships in the school . . .)

*classroom climate* (teacher and student relationships, teacher locus of control, student feelings . . .)

Ideas and things are grouped as:

*teaching models* (the strategic dimension: direct teaching, cooperative learning, concept attainment, inquiry training . . .)
*instructional techniques* (the tactical dimension: giving directions, managing behavior, modeling new concepts, monitoring and correcting the course of a lesson . . .)
*student activities* (practicing in the classroom, studying independently, doing homework, giving an oral report . . .)
*instructional materials* (textbooks, workbooks, computer software, teacher handouts, maps, models . . .)
*time and time sequence* (minutes allocated to mathematics, actual engagement time, an A/B schedule . . .)
*facility, space and furnishings* ("egg carton" classroom, lecture hall, cafeteria, media center, desk, table, carpet, wall hanging, display case . . .)
*instructional equipment* (computer, slide projector, television set, art supply cart . . .)
*campus* (playground, amphitheater, environmental science center, arboretum . . .)
*community resources* (museum, planetarium, Junior Achievement, sewage treatment plant, supermarket . . .)

Criteria that have improved instruction and helped administrators assess their work are found in Box "C."

### Box C—Assessing Instructional Program Improvement

1. Teachers and principals use a curriculum approved by the board of education and characteristics of their students to make the most of their instructional decisions.
2. Within limits of community constraints, good judgment and law, teachers make instructional decisions for their classrooms. Teachers and principals make collegial decisions at the school level.

3. While a district may characterize effective instruction, administrators do not apply that characterization as a straight jacket to teaching practice but a Christmas tree on which to hang different ideas and approaches as ornaments.
4. A status report including evaluation data, teacher competency, community expectations, . . . is used as a foundation for planning change.
5. *Reasonable* planning, never drawn *rigor mortis*, precedes action. Representatives of all people affected by the change have had a hand in devising the plan.
6. During planning, each instructional component is a *candidate* for change, but not every component is probably selected for change.
7. A committee with a teacher majority selects textbooks and instructional materials.
8. In *high investment* areas as instrumental music or computer education, the board does not leave teachers *inspiration rich* and *support poor*. They budget funds for *high ticket items*.
9. Discretionary funds and small grants are available to teachers to purchase materials and pursue interesting ideas.
10. Effective staff development activities help teachers and administrators introduce new programs and improve existing ones.
11.Staff supervision and evaluation activities are linked to instructional development and improvement.
12. Everyone is patient waiting for the results of change. They do not *butterfly* from one idea to the next, but *stay the course*.
13. Administrators recognize that no one can handle a great deal of change at one time. Therefore, they limit change.

**Coaching and developing staff**—Education is a human transaction dependent on talented and well-prepared practitioners.It follows that efficacious staff development is an essential ingredient in the assistant superintendent's pharmacopoeia. Designing a reasonable curriculum or enhancing only principals' skills in improving instruction won't travel far in promoting student success if the district is less than effective in improving all staff skills. The assistant superintendent plays a key role in structuring support for staff development and then arranging the district culture to make it possible.

No human enterprise that responds confidently to its environment can long continue without its practitioners learning new skills, honing old ones, and sharpening perceptions about their work. Sound staff development helps teachers, bus drivers, instructional aides, psychologists and all the other people who work in a school district get better at what they do. Box D typifies effective staff development programs that work well.

### Box D—Effective Staff Development . . .

- is based on a developmental model and not a "we are going to fix you" or deficit approach. It recognizes the need for lifelong professional and personal growth
- bridges institutional priorities and personal goals
- focuses upon the school as the unit of change, not individuals or the district
- recognizes the condition of adult learners. It reduces risk and threat of failure and increases people's control over their rate of change. Participants feel that they can immediately apply what they learn to their work setting. Activities take place in comfortable surroundings.
- offers opportunities for different ability levels, readiness, and philosophical orientations toward teaching. It eschews the monolithic intention for all teachers to teach all students the same way in all instances.
- follows a progression where the instructor presents new information and skills, demonstrates and models them, and gives participants a chance to practice those skills with feedback during a workshop. The instructor or a peer coaches teachers in their own classrooms as they use the new skills they have learned. Later, participants have the chance to talk about problems in using new skills, exchange experiences and develop new ideas.

- uses "local talent" as instructors whenever possible
- offers choices and incentives for participation. It forces participation only in those instances where a teacher has serious problems in the classroom.
- complements formal in-service with informal recreational and physical fitness activities.
- keys to the principal's role as instructional leader. The principal is a participant but not usually the staff developer. S/he establishes new expectations or norms for the classroom and the school with teachers.
- recognizes staff members who successfully adopt new practices and shows appreciation for their accomplihsnment
- is regularly evaluated. Different people use data to improve the program.
- is governed by a council where teachers are in the majority. The council relies upon assessment information it or the district collects about program effectiveness and people's interests and needs.
- reflects the commitment of the superintendent and the board. The board invests funds and the superintendent staff time into the program.

Coaching teachers is really a *sub-set* of staff development. But in as it is probably the single most powerful way to deepen a teacher's conception of her/his classroom behavior and the way it influences her/his students, it calls for a special word.

Teacher coaching is not teacher evaluation. Evaluation is assuredly an important personnel function, and it needs to be carried out vigorously. Depending upon the evaluation arrangement decreed in district policy, a principal judges either a teacher's degree of success in gaining objectives developed by him/her and the teacher or meeting criteria for effective teaching established by the district. Some states allow evidence of pupil progress but not standardized test results to enter the evaluation equation. But it must be frankly admitted that the inspectorial circumstances surrounding evaluation discourages the improvement of teaching.

Teacher supervision has gotten a bad name in some places because many teachers and principals see little or no difference between it and evaluation. The word ***supervision*** itself encourages this comingling of functions in people's minds. ***Supervision*** entered the education lexicon after the turn of the century when we tried to make the school into a factory. In the industrial sense, ***supervision*** still implies organizing labor, directing workers, monitoring activities, . . . gaining acceptable results for the least expenditure. In the factory sense, supervision comes down to watching people like a hawk. In the 20's and 30's, the newly created position of ***supervisor*** was dedicated to raising instructional *effectiveness*—promoting student success. But supervisors and supervision swam upstream against teacher perception that they were not still agents of the school as factory. That perception continues today.

With all this in mind, coaching is a more useful term when one describes the goal that principal and teacher (or teacher and teacher in peer coaching) have to help each of them get better at what they do. Glickman (11) and Garmston and Costa (10) are leaders in the coaching movement. They have principal collecting information primarily through classroom observations, engaging teacher's thinking about teaching through questions posed to teacher in conference, and teacher deciding to change some classroom behavior that s/he believes will enhance student success. In a kind of *tic* for *tac* , teacher is invited to suggest changes principal might make in his/her coaching style that will help in the next cycle.

The assistant superintendent can craft the district cultural architecture to accept the importance of staff development and coaching. While the school is the appropriate base for staff development activities, a principal is fortified in his/her role as educational leader, with district expectations for him to function as staff developer. His/her work as coach demands much time. The assistant superintendent can help him/her by helping restructure management procedures in the district and raising appreciation for teacher coaching as more important in his/her work.

A last word on staff development. The assistant superintendent keeps the district *vulnerable* to new ideas. Not that s/he is the exclusive gate for new ideas, but s/he can cultivate an intellectual excitement in the district through staff development activities s/he directly sponsors. Responding to the thought of a fellow educator or a thought s/he has herself/himself, s/he brings new ideas to the attention of others through presentations s/he arranges. Toward similar end s/he can sponsor other people as they usher in new practices.

**Evaluating curriculum and instruction**—It's not what you *expect*, but what you *inspect* . What is measured in social services usually gets done. This *shilalah* effect of educational evaluation sometimes constrains teachers from offering many classroom experiences that go beyond outcomes addressed in the district achievement test. While the standardized achievement test is a primary tool of the assistant superintendent as evaluator, it is at the same time an enemy to him/her. Too many professionals and citizens still equate testing with evaluation whereas it is really only a part.

Sister to the dilemma of equating testing with evaluation is the tendency of many educators to *cowboy* change. In letting opinion guide action, they are like the cinematic John Wayne shooting fast from the hip. Opinion is easily come by because it needs no substance to support it. Judgment, on the other hand, is more difficult to support since it depends on substance. Raising opinion to judgment about educational activities or illuminating areas of ignorance are the functions fulfilled by evaluation. Since evaluation design and administrative procedures are often under the direction of the assistant superintendent, they merit consideration here.

A wise man once uttered, "What are the answers to life?" A wiser friend answered, "Better yet, what are the questions?" Sound evaluation begins with asking both the right and a reasonable number of questions about educational outcomes, products or activities. After wording the right questions, evaluation steps seem to flow naturally and include:

- collecting information drawn to the questions
- answering questions
- establishing objective judgments based on fact
- applying intuition to convert objective to subjective judgment
- deciding to change, end or continue an instructional activity or a curriculum project

A little story to portray evaluation. Before the supermarket came onto the scene when I was a boy growing up in Baltimore, hucksters calling themselves a-rabs sold all manner of vegetables, fruit and seafood in the avenues of commerce for those old neighborhoods—their alleys. Guiding his pony-pulled wagon up one alley and down another, the a-rab specializing in watermelon sang a characterisitc song which announced to waiting homemakers that watermelon was available from him that day. When a woman showed interest, the a-rab would cinch a sale by plugging a melon or removing a small triangular section from the fruit so that the prospective customer could inspect the melon for color and ripeness.

Like *plugging* a watermelon, the assistant superintendent asks a limited number of questions about the educational program. The questions are representative and elicit information which the district must collect by some mandate of the State or which are important to the board or the superintendent. Imposing restraint on himself and others in the district is critical during this phase of question-making or the district may *go ballistic* in trying to answer too many questions or questions too difficult to answer. From year to year some questions remain constant, others are different as the *plug* shifts on the watermelon.

## Box E—Evaluation Plan for Exultation Unified School District

| Evaluation Question | Source of Information | Data Collector and Schedule | Instrument or Procedure | Data "Consumer" and Schedule | Comments |
|---|---|---|---|---|---|
| 1. How well do EUSD students perform in language & mathematics compared to students in like districts around the country? | Students - grades 3, 5, 7, 9, 12 | Teachers - 4 hours, 3/1 to 15 | SRA achievement test | Staff - 3/1<br>Board - 3/10<br>Comm'ty-3/17 | Administ of social science & science tests is optional to the school. |
| 2. How do students writing skills compare to a national average? Where do individual students need help? | Students - grades 4, 8, 11 | Teachers - 1.5 hours 1/10 to 15 | NAEP writing test | Staff - 1/30 | Fulfills part of proficiency test requirement |
| 3. Where do students need help in reading, mathematics, and language? | Students - grades 3, 4, 6, 8, 10 | Teachers - 2 hours, 9/10 to 15 | Exultation diagnostic test, form A | Staff - 2 day turn-around | |
| | grades 2, 5, 7, 9, 11, 12 | Teachers - 2 hours, 10/5 to 25 | EDT, form A | Staff - 2 day turn-around | Teacher or principal decision |
| | grades 2 to 11 | Teachers - 2 hours 4/20 to 5/5 | EDT, form B | Staff - 2 day turn-around | Teacher decision |
| 4. How successfully are primary grade students mastering fundamental skills? | Teachers grades K, 1, 2 | Teachers - 45 minutes 6/1 to 10 | Exultation fundamental skills survey | Teachers - grades 1, 2, 3 9/1 | |
| 5. How do parents feel about their school and its principal? | 30 randomly selected parents in each att'dance area | KARE Association | Structured telephone interview | Principals 6/10<br>Board members on request | Confidential report |
| 6. What are former EUSD students doing with their lives? | 25% of classes of 82, 84, 86 | Assistant Superintendent | Follow-up questionnaire survey | High school principals 3/1 | |
| 7. Should the district continue its four alternative schools? | Prof. A, SJSU, & Dr. L, AUSD, will use jurisprudential model to evaluate program.<br>BoE will act as jury at special meeting on 4/15. | | | | |
| 8. Should the board change its science curriculum document? | Principals & teachers | Curriculum coordinator by 2/1 | Questionnaire survey | Sept. council 2/15 | Sept. will determine document changes. |
| 9. How do educators from other districts rate our schools? | School staffs | Visiting team chairperson | State criteria, self study & validating team visit | School staffs on last day of visit. Board at their next scheduled meeting | Lincoln, John, Truman, Land, Century and Adams schools are scheduled this year.<br>Required by the State. |

In liberating a district from simple dependence on a standardized test, the assistant superintendent can introduce variety in the ways information is collected. Some of the methods for collecting evaluation data are:

- norm referenced achievement test
- criterion referenced achievement test
- matrix sample of either testing approach
- interest and aptitude inventory
- structured teacher judgment
- accreditation study
- structured interview
- structured observation
- questionnaire or survey
- student testimony
- examination of record
- assessment of student products like papers or performance
- unobstrusive measures as counts of student dropouts, books checked out of the library or the number of windows broken in school . . .

District evaluation design resembles the sample given in Box E. What the assistant superintendent includes in the design are:

- evaluation questions
- the source of information
- person(s) will collect the information and when they will collect it
- procedures or instruments they will use to collect information

- persons receiving information and when they will receive it
- any useful comment

Adminstering evaluation from such a plan carries both obvious and more subtle advantages for the assistant superintendent. First of all, it answers the basic question inherent in rational thinking—*Who* will do *what* by *when?* But more than that, the plan projects a comprehensive evaluation effort, limits the effort for that year, incorporates what must already be done (notice question 9 in Box E) and anticipates and thereby reduces future conflict in establishing roles and expectations. The plan is also fruition to a political process involving a variety of players in the district. A number of people—teachers, administrators, union leaders, board members, and even parents and students—can have a hand in its construction.

A district evaluation plan gives the assistant superintendent a chance to broaden evaluation beyond standardized or norm referenced testing. When educators view testing as evaluation, they limit their appreciation for different *snows*. Only question 1 and, partly 2, in the sample in Box D portray use of standard instruments to collect evaluation information. Question 9 extends the notion of evaluation to accreditation, question 7 the use of Thomas Owen's jurisprudential model, and questions 2 and 3 to individual student diagnosis and prescription. Use of a commercial firm to assess parent perception is pictured in question 5. Science curriculum document assessment is the stated purpose in question 8. Finally, teacher judgment of pupil progress, the most universal evaluation method, is *systematized* in question 4. In this example, *organized* teacher judgment allows primary grade children to escape the burden of taking a standardized achievement test.

The purpose of evaluation is not to *prove* but to *improve*. Teachers and administrators need to use evaluative data to assess outcomes and point toward perfecting an instructional experience or a curriculum document. An annual plan illuminates this desideratum in as it identifies *data consumers* and a least intimates that they will do something with the information they receive.

One reason why the president of the United States is so powerful in playing his world role is that he has such a treasury of accurate information available to him. Playing the *consigliari* role, the assistant superintendent strengthens the superintendent's hand by giving him a similar treasury of information. Boards and communities expect responsible accountability based on correct information; an annual evaluation plan demonstrates acceptance of that responsibility.

The process for designing program and curriculum evaluation merits a few words. Convincing people to support evaluation efforts and then to use the information generated through the activity begins during the design phase. The responsible administrator can construct some preliminary notion of what that design might resemble. S/he ought to blend ideas s/he has heard from other administrators and teachers in the district with his/her own. S/he should assuredly involve the superintendent and board in developing specifications for the design. Specifications development is an important political step in that it both allows district policy makers to establish the scope for evaluation in determining the questions and discourages them from insisting impetuously for further evaluation at a later time.

A tentative design is next placed before a wide representation of professionals in the district for their review and suggestions for modification. Incorporation of ideas which improve the plan occur at this juncture. Board action on the final design gives it the *clout* of policy. Implementation follows.

**A summarizing word**—*Position-specific* skills relating to curriculum development, instructional support, instructional program improvement, instructional program and curriculum evaluation, and staff development throb at the heart of what the assistant superintendent is about. His/her practice of them contributes inestimably to his/her primary mission of promoting student success. But that practice is woven into a larger fabric where principals, teachers and others also excercise important roles. The assistant superintendent flickers or flames in the balance like the shimmering Northern Lights as s/he at one time plays the major role and at another a supporting one.

## Management Skills of the Assistant Superintendent

In his splendid book on leadership, Warren Bennis (2) depicts "managers as doing things right and leaders as doing the right thing." Great worth of his book notwithstanding, Bennis is in danger of being more clever than correct in that remark. While he may not intend it, he elevates leadership and denigrates management. No administrator can really excercise one role to the exclusion of the other and long survive, for the sound administrator is both leader and manager. S/he must do things right as manager and do the right thing as leader. Management and leadership balance one another in effective and efficient administration.

The notion of management enjoying primacy in educational administration during most of this century was discussed earlier in this chapter. Efficient dispatch of budget, personnel, facilities and instructional problems were the chief expectations for administrators. The principal whose accounts were always in the black distributed textbooks before the first day of school, submitted attendance reports to the district office on time, promptly repaired a leaking roof, and had salary checks ready when his/her staff expected them enjoyed star status among his/her peers and teachers in his/her school.

Management tends to those functions that promote stability in service and continuity in organization. They are usually pedestrian, unexciting and appeal to that part of us that craves symmetry and order. In its undesirable extreme, the administrator as manager prizes consistency, predictability, and efficiency more than creativity, effectiveness and attention to principle.

Callaghan (5) traces paternity of scientific management in educational administration to Frederick Taylor. Taylor sponsored new techniques that helped American educators to become more efficient. For instance, before schools began to look like shopping centers, there was replication of efficient school house construction through a consistent pattern of specification, bid, contract, finance, inspection and even ceremonial openings of thousands of buildings that resembled factories more than academies. They were efficient places for learning in that they squeezed the most education out of the least investment.

There continues today in Taylor's spirit a search in some places for the *best* way to teach children how to read and its subsequent installation in every classroom in the district. One teaching methodology, a single textbook, structured testing, and even a prescribed time and number of minutes for instruction in all primary classrooms of a school district is an expression of *Taylorism* gone berserk. There is no best way to teach all children everything under all circumstances.

At its worst, scientific management reflects a narrow *clipboard* mentality. Apotheosizing efficiency at the expense of effectiveness and tending to depersonalize human beings as commodities is a hallmark of that excess.

In a positive sense, good management practice, for example, insists on the creation of personnel systems for hiring, directing, evaluating and, if necessary, dismissing employees. An even-handed approach to management does help administrators get things done. Sensible, sensitive execution of a myriad of tasks keeps a school district *in business*. After all, teachers expect the "things of instruction" in proper quantity and availablity; principals, custodial services that keep campuses clean and safe; vendors payment of bills when they are due; parents' assurances of accountability in their children's education, and the general public expectation of proper fiscal practice. Good management is the lubricant for an organization. In a phrase, management tends to a *tight ship* for crew and cargo.

## Leadership Skills of the Assistant Superintendent

No sharp demarcation actually exists between management and leadership. In practice they blur at the boundaries, and neither is ever entirely absent in any effective administrator. But one quality is often in the ascendency. The trick is making sure that one sensitivity excercises each persona. Where management inclines towards service and organization towards efficiencies and continuity, leadership moves them toward effec--tiveness and improvement.

Some men and even some women still emotionally yearn for the sterotypical educational leader of yesteryear: the white male, former athletic coach, now superintendent. A summary of the trait theory in leadership amuses more than it illuminates. Trait theory suggests that an educational leader is bright (but not too bright), taller (or shorter) than his followers, and (when speaking of superintendents) grey, shadowy and given to working behind the scenes. Trait theory tends to the notion that leaders are born and not made.

With the dramatic expansion of opportunity that people have experienced in the last three decades most of us now believe that a short, handicapped black woman can as much *learn* to become as effective a leader as the trait hero is *born* to the purple. Refuting trait theories, the leader who purposefully studies skills lending to social contribution and changes him/herself is better characterized as *transactional, situational* and *transformational*. Each of these dispositions is like a different suit in one's wardrobe—available on the rack and better worn on different leadership occasions.

In describing the transactional leader, Burns (4) tells the story of a Frenchman "sitting in a cafe who suddenly hears a disturbance outside. He jumps to his feet and cries, 'There goes the mob. I am their leader. I must follow them.'"

As follower, the transactional leader finds out those things that people in an organization expect of him/her and s/he does them. No leader can long survive if s/he does less. For example, teachers expect their principal to support them in disciplinary encounters with pupils and parents, leave them alone to teach with minimal intrusion, and intercede with the district office on their behalf if that is needed. They expect an assistant superintendent to replenish their media center with new books, films and computer software, and stimulate their thinking about good teaching with new ideas in a staff development program. The transactional leader must *deliver* what is expected of him/her.

However, a leader cannot long survive if s/he is only given to following. In education, all administrators, even the superintendent, are in a sense "middle managers" since they work directly for a board or a superior. Conflict rises for the leader when the superior or board "pays him to lead, not follow" and subordinates expect him to "deliver" for them. The trick for the administrator as transactional leader comes in avoiding people's perception of him/her *only* as follower of those above him/her and *only* as follower of those below him/her. Herein also enters the critical quality of the transactional leader—the ability to change people's expectations from either above or below where s/he cannot accomodate them in the character of his/her position. Illustrating this point allegorically, the Wizard of Oz said of his people, "I found that they wanted to live in an emerald city so I had them wear green glasses."

Hersey and Blanchard (14) are chief protagonists of situational leadership or leadership as "different strokes for different folks." The absurdity of a teacher pursuing the holy grail of the one true way to teach all children how to read is like an applicant for an administrative position who describes an unswerving democratic leadership style during his/her job interview. As individuals and groups are different so a leader must change his/her style to lead them effectively and, even more importantly, change his/her style as they change. The situational leader does not then have a leadership style but *styles*.

The World War II movie, *Twelve O'Clock High,* illustrates practices of situational leadership. In the film, Gregory Peck plays the part of an officer assigned to command a bomber squadron demoralized by their heavy losses. Peck finds that the devastation they have experienced has made his flyers incompetent airmen. During raids on the Nazi war machine for instance, they don't close formation when one of their B-17's is shot down. They seem unable to gather themselves together to change their losing ways. More and more of them make sick call because they are afraid to fly further missions. Their confidence has evaporated. In his early squadron calls, Peck avoids any warm commiseration with his men's terrible suffering. He coldly directs training flights, refuses crew members medical treatment for battle fatigue, and unflinchingly expects them to continue in battle with curses and threats hurled at their seemingly unfeeling commander, they re-learn the rules of air warfare. Their combat effectiveness once more climbs. Peck then changes his style towards him, too. While he continues close direction, he is warmer and supportive of those flyers who respond to his direction. Later, as individual plane commanders demonstrate competence, he loosens his hand and lets those captains make more decisions.

Finally, exhausted by stress, Peck emotionally collapses and cannot lead an important mission. His executive officer steps in with nary a blink, and in a classic *Hollywood* bomber flick style, the squadron destroys the ball-bearing plant at Ashaffenburg.

In his screen portrayal, Peck is the complete situational leader. On assuming command, he finds his men incompetent, insecure and unwilling to change. Giving no emotional support, he dispassionately directs his men. As they respond and show that they are changing, though continuing with close direction, he introduces new warmth. When competence returns, he remains friendly while increasing his followers autonomy. In the last stage, his very absence shows the situational leader broadening autonomy and even cooling personal relationships by his absence.

A leader enhances his/her probability for success where s/he appraises people's competence, confidence and willingness to change and where s/he uses the right *mix* of task and relationship behaviors. As individuals and groups change for better or worse, s/he adjusts his/her style. At the danger of oversimplification, a heavy *task orientation* for leadership is suggested in those settings that are *highly* favorable or unfavorable. A strong *relationship orientation* serves better where a situation is *moderately* favorable or unfavorable. Indeed, different strokes for different folks makes the situational leader.

The Book of Proverbs observes that "the people perish where there is no vision." The prophet caught the spirit of the last face of leadership—transformational. Both Bennis (3) and Burns (4) speak eloquently to this dimension. Like a Biblical prophet, the transformational leader leads his organization to a "higher place." For his work, clients are better served and staff are more effective and feel greater personal realization in their efforts. Yet there is a danger today that transformational theory *ill*-serves people and organizations in a shallow embrace of the *vision cliche*. Public servant, business mogul, shop foreman, even student council president is expected to have a sense of *vision* about himself and the organization. In those settings, where personal vision is not converted over time to group vision, it becomes hallucination.

In the true transformational leader, vision is preceded by a strong personal value structure and a belief that everybody can enrich the vision. Fortified by personal values, vision escapes a kind of *other directed* entrapment of scanning a human scene like a radar and giving people only what they want and educating them to what they *will* want. In expecting people to modify the leader's vision, it avoids an *arrogance* entrapment of the leader believing /she enjoys a cartel on wisdom. Coming from personal morality and professional ethics, a leader should communicate *his* vision but then invite people to make it *our* vision.

An organization must eventually come down from the mountain where people debate their vision. Vision finally yields to sweat. The sweat of transformational leadership comes in planning change, implementing those plans, empowering a variety of people, learning from success and failure and realizing vision through hard work.

**Blending management and leadership skills**—Leading and managing are related as melody and harmony in a song. Sometimes one musical quality catches the light, at other times the sparkle springs from the other. While proclivity to leadership or management is greater or lesser in all administrators, no administrator is completely deficient in either skill. Like warp and woof in a fabric, at different times one is ascendent while the other is less prominent. Some of us, unfortunately, are not quick enough to determine which is required in a greater degree at a moment.

As an example, consider application of the skills to produce diversification in the cat food industry. Years ago the domestic cat's diet came from a can of suspiciously evil content, a bag of dry pellets, left-overs from the dinner table and an occasional unlucky sparrow. While most felines thrived, their diet rarely rose to anything approaching haute cuisine. Compared to his forebears Cocoa, our family cat, is now blessed. Purina now takes his taste, life stage, and current health into account. Cans on labels ballyhoo fish, poultry and beef flavors. Manufacturers urge us to feed our pets formula concocted for the kitten, the growing animal, and the mature cat. After his veterinarian had diagnosed a urinary tract problem, Cocoa was prescribed a life-restoring product that put me back a buck a can.

As cat owners can select different foods for their clawed pets, the administrator functions primarily as leader or manager at different times. S/he appraises an occasion and deals with it primarily as one or the other. For example, the assistant superintendent leads staff and community when s/he persuades the board to support an application of microcomputers to instruction. S/he appraises idea readiness of different groups, shares and modifies his/her vision, communicates appropriately, plans and implements introduction of new technology to the classroom. Box F catches that setting.

## Box F—Assessing Program and Curriculum Evaluation

1. A fair number of people was involved in designing the plan. The board of trustees acted upon the plan as policy.
2. The design is addressed to answering evaluation questions. It identifies sources of information, people responsible for collecting infor-mation, people responsible for collecting information and their
schedule, instruments and procedures they will use, people who will "consume" the evaluation report, and related comments.
3. The plan is well publicized. People know when information is scheduled for collection, who is responsible and when they can expect results.
4. The plan balances data collected through testing with that collected in other ways. Staff "stick" with the plan during the year and do not put it aside for passing reasons.
5. Test data are both informative and summative. Both norm referenced and criterion referenced tests are included in the plan. Norm referenced test data are reported longitudinally as groups are compared.
6. The evaluation effort is practical. It aspires neither to collect too much information, nor collect it in an unreasonable period of time. It does not provide people with more information than they can use.
7. Reports are clear and to the point. They take particular audiences into account. While choices for action are described, strong recommendations are made when they are appropriate.
8. Evidence exists that people use evaluation reports to improve curriculum and instruction.

At another time, s/he functions as manager when s/he drafts specifications for computer hardware, selects and purchases that equipment, places it in the schools, provides for its security and repairs it when it "goes down."

An administrator can even lead in management. For instance, when a district grows to a size where its instructional media distribution system is no longer adequate, the assistant superintendent ceases managing the inadequate procedure and leads in establishing a better arrangement. Conversely, manager supports leader. The leader functions as cultural architect in the organization. In that role s/he deals with symbols and images, signals to others what is valuable, presides at ceremonies and creates feelings of progress. Arranging meetings, correspondence and other encounters for the cultural architect is pure and simple application of management to leadership.

As manager, the assistant superintendent schedules staff development activities with a local bank which makes its facility available, contracts with the publisher of the standard achievement test used in the district, assigns clerical staff to the people responsible to him/her, or distributes a new curriculum document to teachers. As leader, s/he introduces the idea of a Spanish language immersion program for Anglo students through arranging the visit of a national authority on that approach, helps a group draft criteria they will use to select new science textbooks, challenges principals to coach as well as evaluate teachers, and recommends improvements in student activities at the district center for physically handicapped students.

Now the leader, next the manager, the assistant superintendent applies his/her skills to administering various aspects of service and organization.

## Dealing with Forces Outside the School System

As no man is an island, no organization can long endure which ignores forces outside itself. Attending to those environmental presences is a major responsibility of the assistant. The outside forces impinging on his work are powerful individuals and groups, developing theory, knowledge and practice, and emerging social values, issues and trends.

Powerful individuals and groups run the gamut from the local teachers' association to the state commissioner of education, from a major textbook publisher to the assembly appropriations committee, from Mortimer Adler to Madeline Hunter, from a creationist group in Missouri to the Supreme Court in Washington, D.C.

Issues, trends and values travel relentlessly across the social fabric. They take in everything from public opinion about war and peace to public policy toward international economic competition and cooperation. From a greedy, ethnocentric society to a sharing commonwealth. From the civil rights movement to the sexual revolution. From a young population that is increasingly minority and striving for more power to an older population predominately white, stubbornly trying to preserve its power.

Emerging knowledge, theory and practice paints a scene from proliferation of personal computers to possibilities for genetic manipulation of plants and animals. From the swing to teach young people to compete successfully to cooperate successfully. From the educational alternatives of open education to basic education. From a developmentalists to a behaviorist point of view about learning. From laser technology in communications to century old school buildings.

The assistant superintendent must sometimes remain only reasonably abreast in his/her knowledge of these forces and at other times in total command of information about another. S/he can never ignore them for they always influence learning and teaching.

## A Word About Change

*In my estimation, more misery has been created by reformers than by any other force in human history. Show me someone who says, "Something must be done!" and I will show you a head full of vicious intentions that have no other outlet. What we must strive for always is to find the natural flow and go with it* —Frank Herbert (13)

A good deal of discussion in this chapter has centered on change. The purpose is not to present a definitive guide to changing aspects of the school program, but to suggest some steps those who aspire to the assistant superintendency or who currently hold it may take in bringing it about. That the assistant superintendent must change aspects of service, organization and his/her own skills is given in the change-driven world we live in. In paraphrasing Bennis, managers change things right and leaders change the right things. For a thorough discussion of change in social organizations, the reader is referred to Bennis, Bennett and Chin's classic work (3).

Change is the dynamic that propels people's success. It has the administrator—assistant superintendent or principal—first examine the school culture and climate. Remember that culture is *the way we do things around here* and climate *is how I feel about working here*. The school or district culture must carry the belief that educators have the power to teach students something worthwhile, an atmosphere of trust, and an expectation that nothing remains forever constant. Climate must have people reasonably happy with working conditions, human relationships, salary and the myriad of circumstances and things that constitutes morale. If a major problem exists in either culture or climate, the perspicacious administrator usually tends to the flaw rather than ignore or change it or, worse yet, acknowledge it and fly in its face.

Having assessed reasonable cultural and climatic salubrity, the administrator next should personally empower him/herself to improve instruction. By his/her position, s/he carries responsibility for making it a better place; s/he needs to tell him/herself that. Personal empowerment is like the weight lifter quietly preparing himself to press 400 pounds. Empowerment is a conversation with oneself—tasking responsibility and admitting skill to carry out responsibilities.

An old saw once counseled an administrator new to his position not to make any changes during his first year. That advice was probably never sound; today it invites professional suicide. Good counsel today is to watch for a while, but then do something.

The new or veteran administrator should listen, examine, read, and find out about what is going on in a school or a district. During that time s/he ought to discern where many people in a school want to change. Then, after drawing some personal conclusions about the total program, s/he can target a particular program change; a rifle is more useful here than a shotgun. S/he should consider all components as possibilities for change. But the best advice is to target shrewdly and limit change. *Going with the flow* and changing that program which many teachers wish to see changed, at least the first time out of the blocks, promotes success.

The next step is critical. It calls for the administrator to envision the altered state. After all, a leader needs to lead toward somewhere. Walking halls and classrooms when no one is there and seeing and hearing things that don't yet exist but that will, catches this spirit of personal vision-making. At first, vision-making is lonely and solitary. But the administrator must eventually convert *his/her* vision to *our* vision. S/he does this by sharing his/her ideas, listening to staff reactions and incorporating as many of their ideas as s/he can into a collective glimpse of the future. Arrogance signals *my* vision, prudence *our* vision.

During vision-making the administrator is also building a critical mass of fellow professionals. In a nuclear power plant, building critical mass is bringing together enough fissionable material to sustain electricing producing heat but not enough to cause an explosion. Harold Hill, redoubtable scoundrel-hero of *The Music Man*, might expect a parade to form behind his raised baton, but that's musical comedy, not life. Reality rarely provides for unanimous agreement on even the time of day. The administrator can convince, cajole, compromise, even advisedly coerce some teachers to his/her side in building a critical mass that will support the social nuclear reaction s/he needs to sustain change. Building a critical mass of supporters for one's vision is a good deal like looking for the grain in a piece of wood and then taking advantage of it rather than stubbornly ignoring it.

Cooperatively planning the intended change is next. During this time of sharing power, reasonable attention to determining *who* will do *what* by *when* will give the group, now enlisted together, the road map they need. The administrator is cautioned to avoid paralysis analysis; as stated earlier s/he must do something quickly to initiate change. *Doing something* is remedy to the rigor mortis planning experienced by some groups. That kind of protracted deliberation chills any initial enthusiasm for change.

Lining up the dollars needed in the project may satisfy the imperative to do something. Yes, we are told that the Buddha sat beneath his bo tree and scratched in the ground with a stick as he taught his people the way to truth. But Buddha is an immortal; ordinary human enterprise usually requires more than his simple things. Money is the mother's milk of politics, and it nourishes a good deal of educational change. Funding staff development activities, financing equipment purchases, paying for new materials transcends what simple rhetoric can deliver.

As planned activities unfold, the administrator should in David Packard's phrase *manage by wandering around*. Attending in-service workshops at the school, observing teachers using new skills in their classrooms, chatting with them about successes and shortcomings, allowing error and learning from it, showing patience with people during the *gritty innings* are manifestations of the help and support needed by human beings during a change experience. Building ownership and institutionalizing the new ways are the natural outcome of support, interest and help from the administrator.

A footnote about patience and change. Substantial improvement in education usually does not happen quickly. Sure, some parts of the program change quickly, but significant improvement in student success usually comes three to five years after the first instructional changes were initiated. Administrators must, therefore, *stay the course* and avoid *butterflying* from one change to the next. Mae West once said she never "got too much of a good thing" but trying too much, too fast in changing instruction can work against even the most committed administrator and his/her staff.

## Personal Posture of the Assistant Superintendent

*If I am not for myself, who will be for me?*
*And if I am only for myself, what am I?*
*And if not now—when?*

Hillel, Talmudic scholar of the Middle Ages

Central to the individual administrator element in the administration model presented in this chapter is the sector I've called "personal posture." While akin to what Sergiovanni describes as an administrator's *platform* (18), it exceeds his idea of personal philosophical, psychological and sociological clarification. Posture is both *inward* and *outward*. *Inward* in that it is founded upon a moral and ethical notion about ourselves and our fellow creatures. Without strength in belief about what the world ought to be and what people can become, each of us is like a tinkling bell. Inwardly, posture counsels our decisions. It encourages us to better educational and ethical behavior.

As an antidote toward the philosophical arrogance of knowing all the answers for human behavior and destiny, all of us existentially balance between commitment and tentativeness in our beliefs. In the extreme, commitment would have us die for our very strongest beliefs, . . . but, on the obverse side, quite willing to change old beliefs when we come upon new evidence that casts them into strong doubt.

In a homely reference to personal posture, I recently heard of two young women who were offering workshops to prospective principals. The women , themselves, were only in the second and third years of their administrative careers. In misguided enthusiasm for their still new status, they stated that a man or woman must give their first allegiance to the job and that self, family and friends must follow. The administrator must sacrifice self, family and friends in the interest of their heady responsibilities. Even Sparta would weep at the fundamental sadness in their remark. Personal posture was failing the two so early in their careers.

Personal posture is *outward* in that it projects our beliefs to our relationships and our work—ultimately to our behavior. It guides our actions as we care for ourselves and relate to other human beings. It causes us to admit dependence on spouse, children or friends and to share affection with them. It sustains us in encouraging sound physical and emotional health. *Mens sana in corpore sano.* It causes us to recognize that an administrator less than robust in humane philosophy or warm relationships or wellness is headed for trouble sooner or later. In his admonition that "the unexamined life is not worth living," Socrates encouraged as much the balanced Greek as he anticipated the balanced modern administrator.

Here is a topical example to reinforce the concept of personal posture gone wrong. Much of American public attention in 1987 was given over to a problem in the Reagan administration called *Contragate* or less tolerantly *Iranamuck.* Oliver North, a Marine Corps officer assigned to the National Security Council, played a key role in many of those events. In testifying before the joint House-Senate committee investigating the affair, North admitted lying to Congress, ignoring executive policy prohibiting weapons sales to Iran, breaking public law restricting aid to the Nicaraguan rebels, and maintaining an illegal financial structure outside the government to finance the entire enterprise. More tragically, he strengthened the capacities of a Middle Eastern fanatic's legions.

In his imaginative operations, Oliver North almost became the Milo Minderbinder of *Catch 22*. Through it all, he admitted to no wrong doing, no serious failure of judgment. But with his widening disclosures, North, the administrator, illuminated serious flaws in his personal posture. His ethics had betrayed him in his actions; his morality in guiding his decisions. While he was both efficient and effective as an administrator, he was wrong as a public servant and many would say flawed as a human being as well.

Sound personal posture adjures an administrator to enjoy his/her family and friends, clarify and expand his/her personal values, improve his/her vision of the good society and the caring school, deal with the often terrible stress of the position through practice of physical and emotional wellness, continue to grow intellectually and professionally, and even build toward personal financial strength. Personal posture, at the very center of an administrator's being, requires constant tending lest good seedlings not take hold or objectionable weeds spring up. His/her beliefs and feelings about society, other people and him/herself have much to do with Augustine's commission that all of us help build the *City on the Hill*—in love, good health and joy.

This discussion of the individual administrator's position—specific skills, leadership, management, outside forces and personal posture closes with reassurance to veteran and novice. Most of us have experienced the *imposter syndrome* in our lives. It is the feeling that we aren't really qualified for the role in which we find ourselves and that eventually people will find us out. The governor in the popular TV series, "Benson," caught it well. "Some of the time I don't know what I'm doing. Most of the time I'm unsure of myself. All of the time I'm scared." I believe that a man or a woman will succeed as administrator when s/he carries out well those skills included in the job—s/he adroitly balances leadership with management—and s/he is sustained by a strong personal posture.

## A Small Bird, Calcutta and the City on the Hill

*Think not forever of yourselves, O Chiefs, nor of your own generation. Think of continuing generations of our families. Think of our grandchildren and of those yet unborn, whose faces are coming from beneath the ground.*
*The Peacemaker*, founder of the Iroquois Confederacy

On July 11, 1987, United Nations Secretary-General Javier Perez de Cuellar ceremonially took a newly born Yugoslavian baby into his arms. Only moments before, little Matej Gaspar had come into the world. He represented the five billionth human being now living on Planet Earth. The beginning of young Matje's life ends our consideration of the role of the assistant superintendent for instruction and curriculum.

Prospects and problems facing our Matej and his fellow human beings are enormous. Approaching the second millenium is a time to reflect on what has happened to our sisters, our brothers and ourselves during the last century. It is more importantly time to speculate not about *any* future but to prepare diligently now for life on earth to prosper in a *better* future. A business as usual mentality would have educators content with preparing children to read, write and cipher. Yet if we do only that, we have not caught the real challenge in education—helping boys and girls become more the men and women they might be within a true commonwealth. We must perfect both ourselves and our world. Nothing short will do in this cosmic adventure. Like Perez de Cuellar, educators attend the birth of new people and a new world. Possibility for success and failure, good and evil always exists in any such birth.

Balance among satisfying individual aspirations, perfecting human society and protecting the world life environment baffled humankind for all their history. Rome, Prussia and the Soviet State represent the condition all too common through history where the collective interest usually prevailed over the individual. Renaissance Italy and the robber baron era of the United States, on the other hand, are examples of the individual installed over the common interest. Only in small places for a few years has balance among individual, society and environment ever truly existed.

The last few centuries have witnessed both great expansion in human opportunities and enactment of incredible suffering on our kind. Yet that experience of the recent past pales as we pass through the millenium into a future that might witness creation of Augustine's "City on the Hill" or see the hopelessness of a world-wide Calcutta come into being. In restoring balance among the individual good, the common weal, and the bio sphere we may yet escape the apocalyptic appointment to which we are rushing.

The problems of life on earth are foreboding, but our shining prospects are equally enormous. Yes, nuclear missiles still wait like butlers in their silos, but diplomats also work hard toward averting a hollocaust. African children still starve, but earth yields food enough for everyone. Acid rain still wastes the Northern European and American forests, but we have greater capacity to scrub the air of its impurities. Despots still torture their people unspeakably, but more people than ever before are warm under freedom's sun. Today war or peace, famine or plenty, earthly garden or withered desert, democracy or tyranny wait on either side of the razor edge humankind walks precariously. No shortage of either problems or opportunities.

Educators, and more particularly their leaders, have a trust beyond their current responsibilities as citizens. In faith that life on earth will continue, they must help their students face those problems bravely and grapple with them successfully—or at the very least hold them to a stand-off for the next generation to solve.

This knife edge of cataclysm for the good or ill is a proper place for a final story.

Among the ancients was an old man wise in his years. From all over the land, people would question him. Never did his wisdom disappoint them as his advice guided their action well. One day, a young man intent on embarassing the sage with a question impossible to answer asked, "Master, I hold a small bird in my hands. Is it living or dead?"

The old man saw the trap. With a knowing smile, he responded, "Young man, the answer to that question rests in your hands."

Whither Calcutta or City on the Hill for humankind? In no small way, the answer to that question is in our hands as administrators of our schools.

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## Three

# The Effective Assistant Superintendent for Business

by

R. Craig Wood and William E. Camp

The contemporary assistant superintendent for business is charged with the responsibility of overseeing a wide variety of support areas for a school district. While the responsibilities, as well as the title for the position, vary from district to district, it is a dynamic and important area of educational administration. Essentially, everything involving the management of fiscal and logistical services of the district are under the auspices of the assistant superintendent for business. Although the individual may not actually be involved in every task s/he oversees, the assistant superintendent for business is the person in charge of these areas of business management.

It is important to note that in many rural and smaller communities the fiscal and management operation of the local school district is often the largest business enterprise within the community. It is quite common to have the largest payroll, transportation system, food service operation, as well as the largest fiscal impact on the community. Regardless of the size of the community, research consistently shows that such educational activities are investments in the future of society and not merely expenses of public tax dollars. Thus, the assistant superintendent for business makes decisions which reflect benefits to society and to the community as a whole, rather than benefits to a specific group of individuals. By engaging in the efficient and effective management of the school system through sound educational and fiscal leadership, society as a whole is served as this activity ensures the enhancement of educational opportunity for the next generation.

## History and Growth of the Profession

The duties of a contemporary assistant superintendent for business are radically more complicated from those activities designated with the inception of the position in 1841 when the Cleveland Public Schools hired an individual to ". . . keep the books, prepare the payroll and care for the school building." (1:10) Today, the assistant superintendent for business is a well accepted administrative position. Dependent on the size of the district, most public school districts hire a chief fiscal officer. The title of the position varies with different school systems from that of business manager to deputy superintendent for fiscal services.

With the dramatic growth of public schools in terms of size and complexity, the role of the assistant superintendent also accepted new dimensions. As American society grew from a largely rural and agrarian one to that of a largely urban one, schools were highly reflective of these changes in society. As schools consolidated into larger school districts, food service, transportation, and other areas of management grew in terms of complexity. Growth of compliance and regulatory conditions increased in complexity as equality of opportunity and state aid gained acceptance. Hence, the costs and administrative functions increased in direct compliance with these factors. As society emerged from the pre-industrial era, the public demanded greater accountability and efficiency of public monies in educating the student population.

## Organization of the Central Office

Although every school district central office varies in terms of organizational structure, they are generally of similar nature. In terms of fiscal management, school districts are classified as either unit or dual control . In a unit structure, the administrative team acts as a unit and is largely directed by the superintendent. The assistant superintendent for business, as all administrators, answers directly to the superintendent. The assistant superintendent answers to the school board with all communications, unless directed otherwise, through the superintendent. Proponents of this view hold that the superintendent is the leader of the administrative team and, as such, s/he must speak with one unified voice to the school board.

In a dual control district, the pattern is usually that of the assistant superintendent of business answering directly to the board of education on all matters dealing with fiscal issues. The superintendent, who is normally charged with purely education related issues, also answers directly to the board of education. Hence, the dual nature of control may be seen. Proponents of this view hold that few public school superintendents are knowledgeable of fiscal affairs.

As the position is associated with a variety of tasks, the exact title of the position varies as well. Titles such as business manager and assistant to the superintendent are generally indicative of the chief fiscal officer. In several states, the title is of importance because certain certification requirements must be met.

## Fiscal Dependence and Independence

As an overall generalization, school districts can be classified on the basis of either being fiscally independent or dependent. Whereas many variations exist within each classification, the role of the assistant superintendent often takes on different tasks, depending upon the fiscal status of the district. Generally, the fiscally independent school district is in an independent property tax jurisdiction. The school district does not require approval of its local budget from another local governmental agency. Hence, the local property tax levy is decided by the local school board. The assistant superintendent must deal only with his/her local school board in the property tax decision.

Conversely, a fiscally dependent school district is one where regardless of the educational and fiscal decisions made by the local school board of education, its budget must be approved by another local governmental agency. Usually, these arrangements call for the county commissioners, the local town council, or other such agency to approve the budget and the subsequent levy and tax rate. As a general rule, the approving agency does not make decisions on any line item in the proposed budget but only on the total budget levy. Often times, the assistant superintendent for business is called on to present and explain the budget and state and federal regulations that may influence budgetary requests. Such tasks require competency in working with elected and appointed officials who may see their primary role as protecting the taxpayer, as opposed to what may be perceived to be the best educational solution.

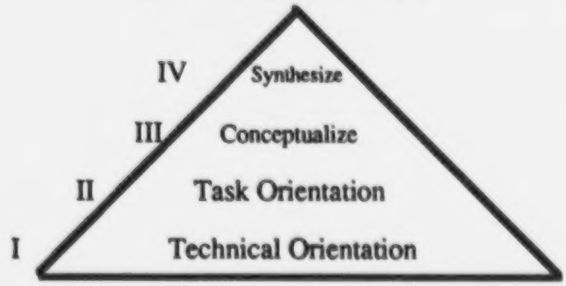
School districts may, or may not, depending upon state statutes and regulations, be independent property tax jurisdictions. In an independent property tax jurisdiction, the property tax is levied, and in a few instances actually collected by the school district. As a general observation, most school districts are fiscally independent, but do not possess independent property tax jurisdiction. Generally, the school district submits its levy to the appropriate county or township authorities and they in turn administer and collect the appropriate levies. (2)

## Technical and Conceptualization of Problems

The contemporary assistant superintendent for business is called on to offer advice and counsel to the superintendent and staff on numerous occasions. While the area of expertise is generally of a fiscal nature, such insight often influences many areas of educational administration. The role function may best be shown in Figure 1: (3:537-538)

Figure 1 outlines the necessary skills for the assistant superintendent for business who is facing a complex and continuing problem in daily operations. If this model is applied in approaching the issue of declining enrollment within the

Figure 1.
Assistant Superintendent—
Business Role Functions



school district, a certain analysis can be described. First, the assistant superintendent for business develops a strong academic knowledge of public school law and finance. With this technical basis and knowledge, the person progresses to level two in developing the task-oriented skills to solve the problems of declining enrollment for the local school district. While identifying and clarifying the task, the assistant superintendent is also conceptualizing various alternatives. The last step, that of synthesis, is the most difficult. The synthesis level involves blending technical knowledge, bringing that knowledge to the task, and conceptualizing the fiscal and legal options that lead to a solution of the problem. The synthesis stage brings these components together as a practical solution for a board of education and superintendent to consider.

## The Role of the Assistant Superintendent for Business

The role for the assistant superintendent for business is to provide the necessary support for an efficient and effective educational program. In this role the assistant superintendent acts as technician, resource person, and decision maker. For example, as technician the assistant superintendent calculates the effects of declining enrollment on state aid and the potential compensating options such as increasing local property taxes. As a resource person, s/he serves as a guide to the superintendent and board in developing procedures for reducing staff. The assistant superintendent exerts tremendous influence on the decison-making process by deciding what plans are presented as well as recommending policy for consideration. Decision-making responsibility is also excercised in deciding what options *not* to recommend to the school board through the superintendent. As a decision maker, the person in this position analyzes the budget in terms of the mix of experienced teachers, use of aides, the provision of an adequate supply of instructional materials, and the deployment of specialists and prepares a recommendation of alternative and advisable courses of action to the superintendent and school board. While there is no doubt that the board of education has the final decision-making authority, the impact of those who identify options and make recommendations as part of the decision-making process is significant.

The increasing need to focus programmatic attention on the various aspects of the school operation place special attention on better techniques for budgeting and accounting in the school operation. In this role, the individual in charge of business operations for the district is an integral part of the administrative team for planning and administering a school program that is accountable for achieving successful results in ways that are cost effective over the long term. The individual's responsibilities in this role are to consider first the interests of the school district, with a special commitment to the children and community for which it serves, to obtain the greatest value from each tax dollar expended, to use exemplary business practices that meet the requirements of all legal statutes, and to identify and implement strategies that will enhance the level of service and reputation of the school district. In order to build the necessary coalitions to develop successful budgets and policy governing the budget, the individual must understand the uniqueness of each school system for developing bases of support.

## Needed Competencies

The position for the assistant superintendent for business requires a wide variety of academic and work experiences in order to be successful. Although any one preparatory route will perhaps have weaknesses, specific training in education finance and school business management is a must. It must be noted again, many states require the chief fiscal officer to be a certificated person through the appropriate state department of education. Depending on the size and sophistication of the school district, the assistant superintendent oversees the operations of various departments: a certified public accountant may direct the accounting department, a registered dietician may direct the school food service operation, an architect or engineer may direct the plant maintenance and operations department. At this level, the assistant superintendent oversees these areas and is a fiscal generalist who must be reasonably knowledgeable about each area and how all areas interweave within the overall organization. On the other extreme, in a very small district, where the assistant superintendent is almost always directly responsible for the daily fiscal affairs of the district, one is daily accountable for many areas such as: food service, transportation accounting, risk management.

Certification is an important issue in many states. Certification often specifies appropriate training required for the position. On the other hand, even when certification is a requirement, different philosophies and operations require different training for the chief fiscal officer of a school district. It often is a reflection of the superintendent's philosophy as to whether s/he desires a person with specific private sector business training, such as an M.B.A. degree or one with a doctorate in educational administration, with concentration in the area of public school finance. It is important to recognize that there are a number of paths to reach such an administrative position. To an extent, such tracks for preparation hinge largely on whether the school superintendent views the role as primarily that of a technician or as a member of the administrative team. This philosophy and organizational outlook will largely dictate the type of person the school district will seek.

## Preparation and Certification Requirements

Generally, those states that have certification requirements call for certain experience and/or academic preparation in accredited programs. Generally, in order to possess an administrative certificate one must have taught in a public school and possess an appropriate classroom teacher's license. In order to possess an assistant superintendent's credential, it is common practice in many states to expect an individual to be qualified for a building principal's license.

Academic programs vary greatly as to their specific preparation and research requirements in the area of public school finance. When state departments require specific courses, it often embraces academic preparation in a number of courses: education finance, school business management, accounting and budgeting, educational facilities planning, collective bargaining, non-profit accounting, public school law, microcomputer applications, public school personnel practices, and often an internship in a school district finance office. Specific programs preparing practitioners and researchers in education finance and specifically in school business management exists at several highly regarded universities.

In addition to experiential and academic training, professional organizations offer continuing education and training for practicing assistant superintendents for business and their staff. Perhaps, the largest and most successful professional organization for clinicians in school finance management is the Association of School Business Officials (ASBO) International based in Reston, Virginia. ASBO consists of approximately 7,000 members who primarily are practicing education finance officers. ASBO publishes a monthly magazine, *School Business Affairs*, and a number of other publications each year. Further, its annual convention is attended by assistant superintendents in charge of business from throughout the nation.

The American Educational Finance Association also supports research and new developments in the area of school finance and business management. New developments in these areas are addressed at an annual conference and through its publication the *Journal of Education Finance*.

Occasionally, other organizations have training sessions that are valuable for those hoping to become an assistant superintendent for business. Considering the many duties of the assistant superintendent, it is difficult to specify or limit the many options for training provided for individuals interested in developing additional competencies to enhance employment opportunities in this field.

## Personal Qualifications

Frederick Hill lists the personal characteristics that are vitally important for an assistant superintendent for business:

1. S/he is first of all a good person.
2. S/he wants to be part of a strong team rather than a strong person standing alone. S/he selects able and creative co-workers, cooperates with them in a give-and-take relationship, and desires the efficiency and broad viewpoint that is possible when several first-rate minds are analyzing a situation.
3. S/he has respect for all those with whom s/he deals. S/he respects them, first, because s/he believes in the fundamental dignity and worth of every human being, and second, because s/he believes that a person should be treated with consideration, not only for what s/he is, but for what s/he might become.
4. S/he selects qualified assistants and delegates as much routine tasks to them as possible.
5. S/he is compassionate.

6. S/he never forgets that his/her power is delegated to him/her by others, . . . for them to excercise only so long as /she makes use of it in the spirit and for the purpose behind its bestowal in his/her hands. One's authority is . . . limited on every hand by the objectives one is seeking and the interest and desires of those who are affected by the actions. (4:20)

A note of caution. The assistant superintendent for business is often in the most vulnerable position within a school district for vendors and/or potential vendors for gifts being offered in the hope of influencing district buying decisions—both bid and nonbid purchasing. There should be a board policy regarding the acceptance of gifts—usually absolutely forbidding such acceptance. Not only must the assistant superintendent resist such gift offerings but must make it crystal clear to all his/her staff what the board policy is regarding the acceptance of gifts—and ever after be alert to any violation by staff of board policy on this sensitive matter. There have been assistant superintendents of business and business staff who have lost their positions because of questionable ethical conduct in this area of offered temptation.

## Areas of Responsibility

The assistant superintendent for business is responsible to the superintendent of schools, the school board, and the community. This progression of responsibility indicates that the person occupying the position should be loyal to the superintendent of schools and work in a staff position meeting all requirements of the job. Still, the individual must balance this staff loyalty with all legal and ethical requirements of the position.

The assistant superintendent takes responsibility for a variety of duties relating to the financial and business enterprises of the system. Key responsibilities typically involve leadership and management of the budget: accounting, auditing, financial reporting requirements, risk management programs, investment of funds necessary to operate the school system. In many districts the assistant superintendent may also be in charge of building programs, maintenance, custodial operations, food services, and transportation programs. Often this position is the second or third highest in the school district, and the assistant superintendent may be charge of all operations during the absence of the superintendent.

## Financial Planning and Budgeting

Financial planning is often seen as one of the most important duties of the assistant superintendent for business. The process requires skills for developing long-term plans for five to fifteen years for the school district and then using this information for preparing a concise one-year plan to control immediate operations for the next school year. The short-term planning revolves around the annual process of developing a budget but also involves developing detailed expenditure and revenue plans in order to maximize investment programs. The long-term plans include plans for growth, new programs, and the replacement of facilities and equipment.

Developing a budget is one of the most important and involved activities of the assistant superintendent and is the process of translating the educational needs for a school district into a complex financial plan that expresses the level of support a community is willing to make for its educational program. The budget interprets the future direction of the school district through appraisal of past activities, planning and coordination of current and future directions throughout the organization, establishing priorities for a plan of action, and establishing a basic system of management control within the system. The budget in this form provides an important instrument for providing public information. Though the methods and instruments of budgeting are varied, the basic process involves eight steps.

The budget preparation phase initiates an on-going, year-around process in most districts. The first step in preparation involves developing an educational plan that reflects the district's educational philosophy and encourages citizen participation in the planning process. Five questions should be answered in this process: 1) Who should be educated? 2) What program provisions should be made for various student groups? 3) What qualifications and requirements should be established in terms of faculty, administration, and support personnel? 4) Which support services should be provided? 5) What role will the school play in community activities?

The second step in the preparation phase is developing and expenditure plan. The process begins by developing a budget calendar and examining the previous year's plan. It attempts to translate the educational program into a set of costs for personnel, services, and materials. These expenditures are then subdivided by account classifications according to state guidelines. The third phase is closely related as it involves the development of a revenue plan. The assistant superintendent must anticipate the amount of revenue from federal, state, intermediary, and local sources as well as funds carried over from the previous budget year. The expenditure and revenue plans are balanced during a series of meetings designed to take input from both the school board and community advisory committees.

The fourth step involves the presentation of the budget. Many school districts provide a traveling presentation to the community at a variety of public sites and meetings prior to the formal presentation of the budget to the school board in order to provide information to the citizens and to develop support for the budget. The assistant superintendent must make sure all requirements for public notice are met before the budget is normally presented during a public school board meeting. The formal presentation includes explanation of major budget categories, estimates of revenues and expenditures, enrollment trends, tax information, examination of the previous budget, statements of educational purposes, values and benefits provided by the program, and a variety of statistics to examine the achievements and costs of the program.

The fifth step in the budget process includes the adoption of the budget. The school board must take responsibility for this process but often relies on the recommendations provided by the assistant superintendent on the fiscal aspects and on the superintendent for the educational benefits. The assistant superintendent is typically responsible for filing the budget with the state education agency once it has been adopted.

The sixth step in the process is the administration and implementation of the budget. Effective management of expenditures by comparison with the budget document through use of accrual accounting techniques is important. In this process the school district provides an accurate view of its financial picture because expenditures are recognized and recorded when approved rather than when bills are paid. The school board is apprised of the current financial picture through a monthly report. The assistant superintendent should also develop and use work plans for construction and repair of buildings, purchase order and verification procedures, monitoring of budget accounts, and management of employment and personnel records.

The seventh step involves amending the budget document. In order to balance the budget and make sure that no account ends with a deficit, amendments to the budget are typically necessary. When changes in plans for expenditures of public funds develop, it is important to remember that ultimate authority for any changes must come from the school board. Transfer of funds from one account to another often requires this approval. The assistant superintendent should carefully monitor the budget and advise the superintendent and the board of education when these changes are needed.

The eighth and final step in the budget process is the appraisal stage. This technique emphasizes accuracy of spending and planning. The educational program is examined in terms of its stated purposes and the final measures of achievement of these purposes. Accuracy of revenue resources and expenditure projections should be examined to determine whether more resources will be available for future teacher positions or raises. Finally, did the budget recognize all needed services and materials. This information is used by the assistant superintendent in developing requirements for next year's budget planning process.

## Fiscal Accounting and Financial Reporting

State requirements for reporting the operations of school districts and the necessity to monitor that all actions conform to legal requirements brought about the development of fund accounting systems for school districts based on models developed in business and public administration. This accounting system provides a mechanism for planning and controlling the operations of a school district. The accounting system allows for the effective use of resources within the guidelines of approved expenditures. The system allows administrators to monitor the amount of uncommitted funds available for use by approved category. Supplementing the accounting system are well established procedures for documenting each transaction, including the use of purchase requisitions and orders, bidding documents, cash disbursements, payroll records, inventory lists, audits, and financial documents supporting investments and debts. It is the function of the assistant superintendent of business to make sure that all personnel in the district adhere to school policy and administrative guidelines and meet all legal requirements.

The assistant superintendent translates the information collected from the different sources into a variety of federal, state, and local reports required each year.

One of the most important reports generated by schools is the state annual report. Generally, included in such a report are statements of operations, surplus accounts, expenditures, income and receipts, bonds and sinking funds, special funds, audit, stores, permanent property, and specialized activities. Additional reports, whether to federal, state, or local groups tend to accomplish three purposes: 1) informing the individual responsible for management and control of the system, 2) summarizing financial statistics for various agencies, 3) informing citizens of the financial status of the school system. The end result in preparing this information is that the report should be easy to understand for the audience projected and provide accurate information to all interested parties.

## Cash Management

Like many of the operations of school business management, the cash management program is a complex process requiring the maintenance of complex investment schedules as well as examination of many new alternative investment programs. The school business must do more than open a bank account and juggle funds between checking and savings accounts. Most school districts have developed complex revenue and expenditure plans. To optimize the investment procedure, the individual in charge should determine cash flow patterns, identify receipts and disbursements, and determine cyclical trends for maximum investment schedules.

Daily accounts are often cleared at the end of each day of operation, including the weekend to take advantage of interest offered through a national and international market. Districts are taking advantage of pooling techniques offered through state organizations that gain better interest rates and the professional management of funds by combining the funds from districts across the state into a single investment pool. Techniques to invest funds from bond monies through national investment companies are gaining popularity with many school districts and often involve staying one step ahead of the tax laws. Districts must pay strict attention to the tax laws to avoid arbitrage penalties that could result in severe damage to the bond rates a district receives as a public entity. Under the new tax laws other popular techniques to generate district funds have been severely limited.

Cash management not only includes investment procedures but also requires that the school business manager take the proper steps to safeguard school district funds. This action includes providing daily deposit of school funds so they are not subject to theft from building safes, providing the proper security bonds required to protect the district from employee theft, and making sure that the funds are distributed in a number of banks to provide federal insurance of district funds from bank closures. It also requires providing adequate cash handling techniques such as separation of cash collecting and accounting duties, providing tickets for money making events, requiring proper purchase forms to verify receipt of all material orders, and strict controls on issuing checks to school district personnel.

## Fiscal Audits and Reports

An independent examination of financial statements by an independent auditor provides a procedure for determining whether a school district is following all legal and administrative provisions for accounting and safeguarding public funds through efficient and effective internal control. The audit is used to protect employees and the school board, provide statistical and financial information on the district, to assist in developing improved business techniques , to make sure all legal requirements are being met, and to verify the accuracy of all financial accounts. It is important for the assistant superintendent for business to remember that though the auditing firm uses experts in accounting principles for the job, many firms are not familiar with school districts and their operations. The administrator should carefully check the qualifications of the firm and its employees before awarding a contract. The firm must meet state approved requirements for auditing public accounts.

The assistant superintendent should periodically check records to make sure that auditors are not missing important documents. The use of internal audits by school district personnel can address this problem as well as examine whether accounting functions being used are adequate to monitor planning and administrative activities. The assistant superintendent should make sure that principals in all buildings maintain accurate records in a neat and usable format that can easily be audited. Because personnel turnover is often frequent in administrative positions, this process is complicated unless a carefully written and easily understandable manual is maintained addressing the accounting requirements as well as the documentation that must be maintained for an accurate procedure.

## General and Payroll Mangement

Payroll management involves a process in which administrators examine future needs for faculty and staff in terms of expected revenues available. The review of the payroll system is very important as it is the largest expense in a district's budget. The assistant superintendent of business analyzes job requirements, prepares job descriptions, establishes a job classification system, examines salary surveys in comparable positions in the state and in the community, and designs a pay structure. The salary schedules should consider comparable positions as well as future advance-ment on the salary scale. The scale should help adjust for inflation as well as being competitive with other related jobs in order to attract and retain the best personnel possible at each salary grade.

In addition to providing an attractive and fair compensation system, the school administrator must monitor and document all salary transactions. The assistant superintendent must make timely payments of income tax and social security to the federal government according to specific schedules and of state income taxes and employee retirement programs whether the programs are state administered or independent optional programs. Other deductions for health and life insurance programs must be deducted from payroll checks and submitted to the proper companies. Workers' compensation costs must be paid to the proper agency based on either number of employees and their wages in the district or other specified formula.

Special attention must be paid to the fringe benefit program offered by the district and the cost of this program. Retirement benefits, hospitalization insurance, and professional and health leave are major considerations in this area. The district must then account for employee absences and whether they are acceptable as paid leave or they must be classified as unpaid leave. Many district pay bonuses for unused leave time when an employee retires. Districts must also decide whether employees will be allowed to transfer unused leave time to other employees with severe health problems. Each of these decisions require school funds and must be carefully analyzed by the assistant superintendent in terms of costs and benefits to the school district.

## Purchasing

A purchasing system should provide an orderly and timely system of procurement of goods and services needed by the district. Typically, this process involves the use of proper requisition, order, and verification procedures to ensure expending district funds in a manner that insures transactions will meet all federal, state, and local regulations. A variety of other considerations include whether to use a district-wide purchasing system carefully monitored by the business office or to decentralizing the process giving more control to district principals. Quality decisions should be as important as price decisions in the purchasing procedure. Materials should be evaluated based on their functionality and serviceability. Standardization of materials and equipment can often save money in terms of initial order prices as well as later repair of equipment.. S/he must also monitor decisions reflecting tax exemptions the district may qualify for by being a public entity and for the collection of taxes on sales through student and school organizations. Finally, provision must be made for delivery and storage of materials bought in the purchase cycle. Bidding procedures, invoice and payment of bills, and quality control and testing of supplies and equipment are other areas where the assistant superintendent is typically held responsible for the final decision. The role of the business manager is to enhance the program through purchasing policy by providing the greatest value for tax dollars, providing for functional and serviceable materials and equipment, being fair and unbiased toward all vendors, using ethical practices such as always declining gifts used to influence purchase decisions, and providing prompt and courteous reception to personnel and vendors in purchasing decisions.

## Insurance and Risk Management

The assistant superintendent for business is normally responsible for overseeing the risk management program of the school district. Insurance procurement is a part of the overall risk management program. The assistant superintendent normally possesses reasonable knowledge of the overall risk to which the school district may be exposed. The administrator has basic knowledge and concepts of how insurance contracts and risks are determined. S/he must have budgetary management knowledge. S/he must understand existing state and local codes as well as applicable statutes. S/he must have knowledge of insurance contracts and the methodologies for the purchasing of insurance as well as soliciting bids in competitive situations.

Each basic area of insurance, whether it is employee group insurance, such as health and dental; or insurance of property such as fidelity bonds and destruction or disappearance and dishonesty coverage, should be understood thoroughly by the administrator. Perhaps, the most important component in the overall risk management program is to judge if the school district needs to purchase insurance in order to transfer financial exposure. One can project most instances of severity and frequency in order to forecast potential loss. Protection of public assets in the most reasonable and efficient manner is of prime importance.

## Debts Service and Capital Fund Management

Debt service and capital fund management are generally dictated by state statute and the bond industry. Hence, every state has unique requirements concerning debt limitations, requirements for approval of bond issues, and numerous other specifications. Ad-ditionally, there are numerous loan and grant programs, state purchases of local school district bonds, and various combinations of these programs. The assistant superintendent for business should be reasonably familiar with bonded indebt-edness limitations and the concept of issuing long-term general obligation bonds in order to pay for needed capital outlay improvements.

As the physical structure of many American public schools continue to age and deteriorate, the need for building and retrofitting public schools will continue for some time. An assistant superintendent must consider all the potential options available under applicable state statutes. Options that are allowed by state statutes vary from state to state. In some states, in addition to general obligation bonds, school districts may be allowed to engage in the use of revenue bonds, sinking funds, bond banks and public and private holding corporations. In addition to these competencies, the assistant superintendent is reasonably familiar with the importance of seeking a strong bond rating and the need for full disclosure on the prospectus to the investment community.

Since the passage of the 1986 tax code revisions, school bond issues have grown in complexity. Specific legal and financial advice is necessary in order for such issues to be viewed as public governmental bonds. Specific guidelines of a complex nature must be followed to meet the new federal arbitrage regulations. Competent legal and financial advice should be secured from the outset of such issues.

## Legal Control

The assistant superintendent for business is rarely an attorney. Normally, his/her expertise is in the area of public school finance. However, the individual is called on a daily basis to engage in the use of preventive law, i. e., making decisions based on the best legal interests of the board of education and the taxpayers of the school district. Thus, s/he must be highly conversant with the legal aspects of all fiscal affairs of the school district. The assistant superintendent must fully understand the basic governmental organization of the school district and the legal sources that control a particular relationship. Thurston has perhaps said it best by stating:

"In certain circumstances, the relationship between parties will be bounded by statutory authority granted to the school district by the state legislature; this is authority limited by the state and federal constitutions. Additionally, considerable latitude exists for the school district to bind itself and other persons and entities to contracts. The district also has responsibilities to protect the health and safety of its students. The scope of the relationship can be identified as a particular legal source; statutory, regulatory, constitutional, contractual or tortuous. And these relationships are significant conceptually because they have implications for potential liability and define the scope of power and authority enjoyed by particular actors." (5:20)

Thurston continues by stating: "An administrator's knowledge of legal process is no substitute for the expertise of attorneys. Increased legal knowledge by school business officials is not proposed as a substitute for legal advice from attorneys. Legal expertise is necessary . . . . The legal process makes one a better consumer of legal expertise; so that one will have a better sense of knowing when to ask for advice, and what type of questions to ask. One can then better practice preventive law by shaping policies and practices to avoid litigation while accomplishing the educational objective." (5:23)

## Office and Educational Resources Management

One aspect often ignored in the many duties of the assistant superintendent for business is the necessity of resource management. Technology is fast outstripping many school districts' ability to stay current in these areas. Though prices for equipment such as computers, copiers and audio-visual equipment continues to drop, the changes that have occurred in these areas have been so dramatic that many school districts are hesitant to update resources for improving educational delivery and office management. Many districts do not even have computers available for teachers and administrators as they have concentrated on providing a classroom full of computers for basic computer literacy classes. The question of whether this direction is best educationally is yet to be answered. The basic premise being the assistant superintendent and his/her staff must work directly with colleagues to make better long-range decisions in developing plans to provide better resources for both the classroom and the office.

A second problem in resource management is how to provide the daily supplies and repairs necessary to run school operations and to meet the needs of teachers in the classroom. In the heat of discussions over salaries the necessity of providing adequate funds to provide supplies, maintenance of equipment, and to repair buildings is often left for further discussions. The importance of these daily materials and services are especially noticeable in periods of shortages. The assistant superintendent plays an integral part in this decision process during the phases of budget development and should not ignore the importance of proper resource management.

## School Activity and Student Body Funds

Activity and campus funds are monies collected by pupils and personnel for school purposes as well as funds designated to a specific school site for use in student and school projects. Typically the role of the assistant superintendent for business in this area was to make sure that proper audits were made and financial reports properly filed. Now more districts are involving the assistant superintendent and his/her staff in more direct administration by having these funds incorporated in the district budget with the funds being accounted and invested at the district level. The assistant superintendent is responsible as the result of these changes for providing bonds against loss of funds, collection of money through courier services on a daily basis, accounting and documentation of these funds at the district level, planning investment schedules, payment of personnel and tax accounting for activity duties, and monitoring district policy and business principles in the use of funds. The most important principles are that the funds should contribute to the students' educational experience and should be used according to state law and local policy.

## Personnel Management

The personnel function involves recruiting, inducting, training, evaluating, and retaining personnel. The assistant superintendent for business is mainly involved with the contract negotiation involved with hiring and retaining personnel. The assistant superintendent makes sure all forms for tax and insurance purposes are completed. S/he checks to see that a contract at the correct pay grade is offered and signed by the employee. Districts under specific court ordered desegregation plans may require specific quotas for employees and the administrator may have the job of monitoring these figures.

Often, the director of personnel reports to the assistant superintendent for business. In such instances, the assistant superintendent must be very knowledgeable concerning staff development and teacher evaluation requirements of the state. S/he must make sure the district has enough personnel to handle these activities and that they are being achieved according to a master schedule.

The assistant superintendent must stay abreast of legal requirements such as those that relate to pregnancy leave, negotiations, and providing due process for dismissed employees. Though a lawyer may provide the district with advice relating to these topics, often the lawyer is on a retainer basis and it therefore is the duty of the administrator to monitor the requirements on a daily basis. Failure to do so could result in expensive and time-consuming legal battles relating to personnel decisions.

In larger districts, the assistant superintendent may have a number of people that work under his/her supervision. S/he may have directors and support personnel for such areas as food services, transportation, accounting, and personnel that report to him/her. For these positions, s/he will take an active part in the hiring and evaluation of the employees.

## Plant and Property Management

In most school districts, the assistant superintendent for business oversees the director of buildings and grounds for maintenance and operations or a person with a similar title. Custodial and maintenance staffs normally answer to a director as well as the appropriate building principal. In small school districts the assistant superintendent is in charge of supervision of the maintenance and operations program along with the appropriate building principals. The custodial staff is primarily responsible for the cleanliness of the facilities. The maintenance staff and skilled craft labor are responsible for the repair of the educational facilities. Depending on the complexity of the situation, both staffs are responsible for the preventive maintenance and care of all school district property. The assistant superintendent may oversee the maintenance and operations planning in a small school district, whereas in a large school district, s/he engages in long-range planning with the supervisor of this area.

## Collective Negotiations

The assistant superintendent for business is often responsible for negotiating the collective bargaining agreements with all staffs. In large school districts, it is quite common that the office of the assistant superintendent supplies financial costs to the legal or personnel department, whichever is charged with the responsibility of negotiating all collective bargaining agreements.

Regardless of where specific negotiation responsibilities lie, the office of the assistant superintendent is normally charged with the responsibility of providing the fiscal projections necessary for the negotiator or bargaining team to make proposals and reasonable counter proposals at the bargaining table. Such information includes total payroll and incremental costs for the bargaining unit, placements on the salary schedules, and costs associated with each proposal and counter proposal. Additionally, the costs of fringe benefits and projections for insurance costs must be provided. All language that may have a financial impact must be examined and fiscal projections ascertained. State financial aid and local tax rates must be projected in order to determine the range of acceptability and affordability in relationship to fiscal proposals during the bargaining process. Normally, whether the assistant superintendent is actually negotiating the collective bargaining agreement or not, s/he is an integral part of the collective bargaining process.

## Transportation

Regardless of the arrangement: contracting with a private vendor, operating independently owned buses by district school bus drivers, or using school district owned buses and drivers, the assistant superintendent for business oversees the school transportation system. In a contract situation, the assistant superintendent is responsible for the written contract specifications and the letting of bids for transportation. The assistant superintendent then monitors the contractor's performance and monitors the payment of bills. In a contract situation, the assistant superintendent determines the method of letting the contracts as well as monitoring the performance of the operation.

In a district owned operation, the assistant superintendent normally oversees a director of transportation who is responsible for the entire transportation staff. The assistant superintendent engages in long-range planning with the director of transportation in terms of purchasing, personnel issues, and efficiency of the overall transportation operation.

Regardless of the manner in which the school district transports its students, other duties include the projection of state aid, letting and awarding school bus and other equipment bids, and planning the most efficient routing system. The assistant superintendent oversees the safe and efficient operation of transporting the school district's student population to and from school every day.

## Food Service

Managing a food service food operation is often the largest such activity in the district. The assistant superintendent for business usually hires an individual with expertise in food operations to manage the program. This management process includes knowing the federal and state required portions for each food group and how many times they must be offered each week. It involves applying, receiving and distributing commodities provided through federal programs. It involves maintaining required health records for employees as well as inspections of facilities. It means meeting all fire and building codes. Additionally, it means meeting the needs of the students in providing nutritious and delicious meals.

Because most food programs are designed to be self-supporting, the assistant superintendent must make decisions on the type of options such as salad bars, a la carte offerings, and a say in closed campus policies necessary to provide a vibrant lunch program. The administrator must examine the number of free and reduced lunches expected in the district as this helps guarantee participation in many programs. A price must be set that will not only pay employee salaries and benefits, food and utilities, but also for equipment and supplies for the program. The decision must be made whether the facilities can be used for community groups and/or student activities and whether a charge will be imposed if such use is authorized.

## Staff Development

Effective schools have found that well-planned staff development programs may be very beneficial in improving the educational program when properly developed. The assistant superintendent for business is more often involved in monitoring that state requirements are met and the budget impact than in direct planning of the activities. The implication is s/he should work directly with other administrators in charge of instruction and evaluation in funding a program that will meet district training needs as well as satisfying state requirements. The bottom line is that improvement of the educational program and school operations should be the major consideration . . . and not just the cost of the program.

## Grantsmanship

School districts are facing financial difficulties in many parts of the country. As a result, many public schools are placing a greater emphasis on development programs. This change places an emphasis on generating funds from a variety of additional sources including federal, state, and private grants. As a part of the financial plan, these programs tend to be the responsibility of the assistant superintendent for business in terms of the application and monitoring process. The development of these programs means a district must gather very specific information on students, employees, and finances in the process of applying for the programs. Lengthy documents must be prepared, filed, and maintained with the appropriate agencies. Because many of these grants are for specific purposes and for limited time periods, school districts must carefully evaluate the long-term impact and costs associated with the program. Usually, if the program involves an activity that the district is already addressing or would like to initiate, the district will benefit despite the personnel costs involved with developing, applying, and administering the grant.

Local school districts are placing a greater emphasis on competing for local grants and donations to supplement their educational programs. For many years only colleges, private schools, and school related organizations such as PTA competed actively for these funds. School managers are recognizing the importance of these funds and the flexibility they offer the school program. They are learning the techniques for recruiting these funds, including a variety of attractive tax advantages for district patrons. The process of soliciting and managing these funds is an area often assigned to the assistant superintendent for business.

### Summary

The tasks associated with the role of the assistant superintendent for business are often complex and varied. School business management is a broad and dynamic area of public education administration. Hence, school business management requires a broad background in a number of different areas. The role of the effective assistant superintendent for business is to organize and maintain the school district in the most efficient fiscal manner possible in order to provide the best quality educational programs available within the resources of society.

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## Four

# The Effective Assistant Superintendent—Pupil Personnel Services

by
Francis M. Duffy

### Overview

There is a leadership position in public school districts which receives little attention in the professional literature. When reviewing the availability of literature on this position, only one book was found to be published within the past 10 years (11) —most of the others were published in the 1930's through the 1950's. Despite the apparent lack of scholarly interest in this position, it is an administrative post that is critical to the effective operation of a school district. It is critical because the responsibilities of this position focus on organizing and managing a complex grouping of support services provided to all students in a school district The support services are collectively known as pupil or student personnel services and the person-in-charge is the assistant superintendent for pupil personnel services (in some districts it is a director of pupil personnel services. This chapter is about the characteristics of an effective assistant superintendent for pupil personnel services.

The specific content of pupil personnel services is briefly described. This description includes information about special education support services which have become a central and critical component of pupil personnel services with the implementation of Public Law 94-142 (The Education for All Handicapped Children Act) in 1977.

Following the description of pupil personnel services, a structure for a district-wide program of these services is presented. This structure provides a framework for organizing and managing pupil personnel services at the school district level.

To be effective, an assistant superintendent for pupil personnel services must use management and leadership skills. Classic management skills are described next. The description of management skills is followed by an examination of the behaviors known collectively as contingency leadership.

Although effective interpersonal communication skills are at the heart of effective management and leadership, a separate section of this chapter describes several communication skill areas. This separate treatment of communication skills reflects the absolute importance of these skills for professional effectiveness.

Finally, the last section of this chapter provides an overview of computer-based information systems. This section is included because it is important for pupil personnel services administrators to establish and use computer systems for managing the quantity and complexity of the information needed for the effective management of pupil personnel services.

## The Nature of Pupil Personnel Services

Hummel and Humes (11) provide an excellent description of pupil personnel services. They describe these services as planned and coordinated programs which provide services to pupils in areas other than curricular and extracurricular activities. The basic purpose of these services is to provide special support to all students so that they can benefit from the instructional program.

Hummel and Humes provide an in-depth description of each discipline within pupil personnel services. These disciplines are briefly described below.

**School Counseling and Guidance.** The counseling and guidance service is a well known component of pupil personnel services. Counselors are usually assigned to buildings and are subject to the authority of the building administrator. The major services provided within this area are:

1. Counseling to individual students.
2. Using procedures to work with groups of students.
3. Testing.
4. Providing services to instructional staff (e.g., helping teachers to develop a better understanding of students).
5. Providing services to administrators (e.g., summarizing data and conducting relevant studies).
6. Placing graduates and following-up on their progress.

**School Psychology.** A school psychologist is trained and practices as a clinical psychologist. Allen (1:128) presents the American Psychological Association's definition of clinical psychology:

". . . a form of applied psychology which aims to define the behavior characteristics of an individual through methods of measurement, analysis, and observation; and which, on the basis of integration of these findings with data received from physical examination and social histories, give suggestions and recommendations."

Gray (9) describes the major functions of the school psychologist:

1. directing group testing.
2. diagnosing and providing therapeutic help.
3. analyzing and managing problem cases.
4. providing a psychological perspective on educational problems.
5. conducting research on problem cases.
6. making contributions to the general theory and practice of education.

School psychologists, of course, also individually test students —usually for special education placement.

**School Social Work.** Although school social work was once thought of as primarily home-school casework, it has become increasingly identified with the total educational process, especially for special education (8:29-38). Thus, in addition to the traditional activities of school social work (i.e., casework, referral, and liason with community agencies), school social workers also deal with certain school-related problems by conducting meetings with parents, developing drug and alcohol programs, and presenting human relations training with teachers and students.

**Speech, Language and Hearing.** This area is one of the fastest growing in pupil personnel services. The rapid growth has been stimulated by P. L. 94-142 which mandates the provision of appropriate support services to children with special needs. Speech and language therapy and audiological services are common support services for children with special needs. The speech and language services are provided by a speech and language therapist while audiological services are provided by an audiologist.

**School Health.** The National Organization for Public Health Nursing defines four basic school health services (18). These services are:

1. advisory services to school administrators.
2. guidance and in-service education.
3. interpretation of student health examinations.
4. home visits to communicate with parents about their children's health needs; to discuss the family's health needs so that these may be communicated to other school personnel; and to assist the family and the school to meet these needs.

**Special Education.** In 1977, Public Law 94-142 (The Education for All Handicapped Children Act) became law. This law mandates that children with special needs be given a free and appropriate education in an educational environment which does not overly restrict their learning potential. The law mandates that children with special needs must be given appropriate support services to facilitate their effective participation in the instructional program. The legal requirements to provide appropriate support services has had a tremendous impact on pupil personnel services.

At the heart of P. L. 94-142 is the requirement that each child with special needs receives an individualized education program (the IEP). The IEP is a document which provides direction to those who provide the instructional and support services. The IEP has several sections:

1. a description of the child's present level of performance.
2. annual learning goals aimed at the child's needs with specific short-term objectives which describe milestone behaviors on the way toward each annual goal.
3. a description of special support and related services needed by the child.
4. specific dates for reaching goals and objectives.
5. a statement about the degree to which the child can participate in the mainstream of the school's instructional program.
6. specific criteria and procedures for evaluating the child's progress toward the stated goals and objectives.

For the administrator of pupil personnel services, one big concern in the special educational area is a set of rights called "due process." Due process guarantees the following rights to parents and students:

1. the right to be notified about what is happening regarding a child's program.
2. the right to a hearing to complain about a child's program.
3. the right to be present at the hearing.
4. the right to legal counsel for the hearing.

5. the right to raise issues during the hearing.
6. the right to protection against arbitrary rules which may be established by the school district.
7. the right to receive notification of when the hearing will be held.
8. the right to proof of damages.
9. the right to show where damage has been done.
10. the right to a hearing before a suitable body.

Special education can be subdivided into five primary service areas. These are:

*The Learning Disabled.* These are children who have average or above average intelligence but who have a disability in one or more of the basic psychological processes for understanding and using language.

*The Mentally Retarded.* These children have sub-average intelligence in combination with deficits in adaptive behavior. The traditional categories of mental retardation are:

1. Educable or mildly retarded (children with IQ scores ranging between 60 and 75).
2. Trainable or moderately retarded (children with IQ scores ranging between 35 and 60).
3. Severely and profoundly retarded (children with IQ scores ranging between 20 and 35).

*The Emotionally Handicapped.* These children, often with average or above average intelligence, demonstrate that they are having a negative effect on the personal or educational development of themselves or others.

*The Physically Disabled.* This group of children is very diverse in its intellectual functioning and severity of handicap. Included within this group are children with:

1. neurological impairments (e.g., cerebral palsy, epilepsy and multiple sclerosis).
2. orthopedic impairments (e.g., scoliosis, rheumatoid arthritis, muscular dystrophy and spina bifida).
3. hearing and vision impairments

having a negative effect on the personal or educational development of themselves or others.

*The Physically Disabled.* This group of children is very diverse in its intellectual functioning and severity of handicap. Included within this group are children with:

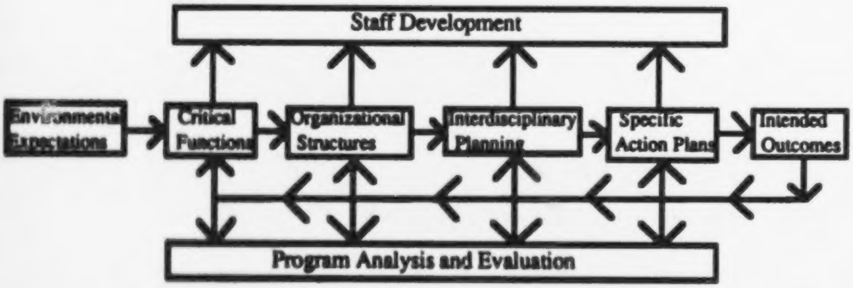
1. neurological impairments (e.g., cerebral palsy, epilepsy and multiple sclerosis).
2. orthopedic impairments (e.g., scoliosis, rheumatoid arthritis, muscular dystrophy and spina bifida).
3. hearing and vision impairments..

*The Gifted and Talented.* This group of children demonstrates intelligence and talents far above the average student. School districts usually have special programs for the gifted and talented. Some states include gifted and talented education under their provisions for implementing P. L. 94-142 (e.g., Pennsylvania) by describing these children as having special needs. Federal legislation aimed specifically at gifted and talented education is also in place. For example, P. L. 91-230 (Amendments to the Elementary and Secondary Education Act) and P. L. 93-380, subsection 404 (which enables gifted and talented education to become the direct recipient of federal funds).

## Organizing Pupil Personnel Services

The six areas of pupil personnel services are school counseling and guidance; school psychology; school social work; speech, language and hearing; school health; and special education. Within the special education area are four categories of handicapping conditions and one category for gifted and talented students. How, then, can an assistant superintendent for pupil personnel services organize and manage such a complex and diverse group of services? To answer the preceding question, a structure is provided (Figure 1):

Figure 1. A Structure for a District-Wide Program of Pupil Personnel Services


Staff Development
Environmental Expectations
Critical Functions
Organizational Structures
Interdisciplinary Planning
Specific Action Plans
Intended Outcomes
Program Analysis and Evaluation

Adapted from Duffy, F. M. (1985). "Improving effectiveness of supervisory practice. Planning and Changing": *A Journal for School Administrators*. 16 (4). pp. 195-205.

This structure provides a framework for organizing for organizing and managing a district-wide program of pupil personnel services. The basic model depicted in Figure 1 is an adaptation of a model described by Duffy (6) for designing a district-wide program of instructional supervision.

The process of designing a program of pupil personnel services is, by necessity, a team effort. A team composed of at least one representative from each of the disciplines within pupil personnel services is formed to manage the process of designing the program and to develop a feeling of ownership of the program within each of the disciplines. The assistant superintendent chairs the team. Using the components of the model shown in Figure 1 as a guide, the team begins designing a program of pupil personnel services as follows.

*Identify Environmental Expectations*. The team identifies what is expected of each of the disciplines within pupil personnel services. These expectations are found in professional journals, in federal and state legislation, and from an analysis of community values and desires.

*Indentify Critical Functions*. Given a list of expectations which are held for pupil personnel services, the team identifies critical functions which must be performed by the service providers.

*Assess Organizational structures*. An organizational structure is a device that is used to guide human behavior within organizations. Examples of organizational structures include job descriptions, work schedules, policies, and computer-based information systems. If the team identifies critical functions which must be performed to comply with valid and accepted expectations, then the organizational structures must be examined to determine if these structures support or constrain the critical functions. If the organizational structures stand in the way of performing the important functions, then these structures must be either modified or eliminated.

*Conduct Interdisciplinary Planning*. There is at least one representative on the planning team from each of the disciplines in pupil personnel services. Each representative returns to his/her respective group to develop a five year, long-range plan for their service area. The representatives then bring back this plan to the design-team. The design-team then reviews and aligns through modification each of the five year plans by developing a five year master plan for the entire pupil personnel services program. This review and alignment process eliminates unnecessary redundancy, reduces the potential for conflict between and among the service areas, increases cost-effectiveness in operating the total program and allows for a high level of coordination and management of the pupil personnel services program.

*Develop Specific Action Plans*. Once the five year master plan is developed, the individual representatives return to their group with the group's individual five year plan which has been aligned with the master plan for the program. The groups develop specific action plans for each year of their five year plan. Each action plan has the following components:

1. statement of annual goal(s).
2. short-term objectives for each of the goals.
3. a list of responsibility assignments.
4. time-lines.
5. required and desired resources.
6. criteria for evaluating progress.

*Plan Staff Development and Training*. From the first day that the design team begins designing the new program of pupil personnel services, the learning needs of the various service providers are identified. As the team moves through the design process and identifies the staff's learning needs, appropriate training is provided on a timely basis. By providing the training on a timely basis , the school district is assured of having pupil personnel service professionals who are "ready" to implement and function within the new program. This tactic of providing training the training needs are identified is contrasted with the tactic of waiting until after the program is implemented before providing training. The "let's wait" tactic puts the staff into a catch-up mode of staff development and tends to reduce the effectivenss of the implementation period for the new program.

*Design Procedures to Analyze and Evaluate the Program.* The design-team also establishes procedures to assess the effectiveness of the new program during and throughout each of the years in the five year plan. These procedures include both formative and summative evaluation techniques.

*Document Achievement of Intended Outcomes.* After designing the program of pupil personnel services, the design-team becomes a program management team. The program management team meets regularly to discuss the functioning of the new program. Under the leadership of the assistant superintendent for pupil personnel services, this team monitors and coordinates the activities of each of the disciplines with pupil personnel services.

When the program begins to function, the program management team collects, organizes and reports on the performance of the various service areas within the program. The team takes the responsibility for documenting the achievement of the intended outcomes for the total program. This documentation is critical because it demonstrates whether or not the program is meeting valid and acceptable expectations.

The above model and description of the design process is complex, but not unrealistic. It is estimated that at least nine months is required to design the new program and to prepare the staff to reach a level of readiness for implementing the program. The existing pupil personnel services would continue to be provided during the design phase. After implementing the new program, the program management team would meet regularly to review and discuss the functioning of the program. The results of formative evaluation point out areas of the program in need of modification; action would need to be taken to make these changes. At the beginning of the fifth year of the program, a new cycle of five year planning starts. At the end of the fifth year of the five year plan, the performance of the entire program would be evaluated using summative evaluation techniques. This five year cycle of planning an action continues for the life of the school district.

## Management and Leadership Skills

The central figure in the organization and management of pupil personnel services is the assistant superintendent for these services (in some districts the title is "Director of Pupil Personnel Services"). In doing his/her job, the assistant superintendent must 1) be sensitive to the special characteristics of each of the disciplines within pupil personnel services; 2) organize the various disciplines into a well-coordinated program; and 3) manage the entire enterprise (11). Given the importance of this job, the selection of an administrator for pupil personnel services is critical. Hummel and Humes (11:86) describe five criteria for selecting a pupil personnel services administrator: The prospective administrator must:

1. demonstrate technical competence and professional ability in one or more of the disciplines within pupil personnel services.
2. demonstrate administrative ability and leadership effectiveness within a school system or professional organization.
3. has formal academic training in education and pupil personnel services administration.
4. is capable of supervising a group of people who have a wide range of competencies.
5. possesses effective interpersonal communication skills.

If the person selected as the assistant superintendent meets the above entry level criteria, then upon entering the position s/he must be expected to continue his/her professional growth in areas which will contribute to his/her professional effectiiveness; especially in the areas of management, leadership, and interpersonal communication. The specific elements of mangement and leadership skills are described below. Elements of the interpersonal communication skill area are described later in the chapter.

**Management Skills.** There are seven sets of classic management functions: planning, organizing, staffing, directing (which is frequently defined as leading), controlling, reporting, and budgeting. These functions can be remembered using the acronym "POSDCORB" (the "O" is added to make the acronym "work"). Koontz, O'Donnell, and Weihrich (13) provide an excellent in-depth description of these functions (these authors subsume reporting and budgeting under the planning function). These areas are briefly described below:

1. *Planning*. Planning involves selecting from among alternative future courses of action. As a process, planning logically precedes the execution of all other managerial functions. Koontz, et al classify plans into eight categories: 1) purposes or missions, 2) objectives, 3) strategies, 4) policies, 5) procedures, 6) rules, 7) programs, and 8) budgets (13:77). Examples of planning methods include the Program Evaluation and Review Technique (PERT), the Critical Path Method (CPM), the Planning, Programming, Budgeting and Evaluation System (PPBES), and Management by Objectives (MBO). Landers and Meyers (14) discuss these, and other, planning methods as they are used in school systems.

2. *Organizing*. Organizing is the grouping of activities necessary to attain objectives, the assignment of each grouping to a manager with the authority necessary to supervise it, and the provision of coordination horizontally and vertically in the enterprise structure (13:162).

3. *Staffing*. This is a process for filling positions within the organization. This is carried out by identifying work requirements, assessing the qualifications of available people, recruitment, selection, placement, promotion, appraisal, compensation and training of personnel.

4. *Directing*. In modern management theory, directing is often redefined as leadership. Leadership behaviors are discussed more fully later in this chapter.

5. *Controlling*. This refers to the assessment of performance to assure that objectives and the plans to attain them are accomplished. Koontz, et al (13:448) describe the

three basic steps in the control process: 1) establish performance standards, 2) measure performance against these standards, and 3) correct variations from standards and plans.

6. *Reporting*. Accountability is an important principle of management. Someone must be held accountable for achieving intended outcomes. With no accountability, goal achievement and quality in providing services suffer. Reporting is a management function used to enforce accountability. It is a process through which the person who is accountable informs his/her superior (and others) of variations between actual and planned results and, then, explains why these variations occur.

Anthony and Reece (2:614) describe three types of reports which are prepared for use by decision-makers:

a. information reports—designed to inform superiors about what is happening.

b. economic performance reports—designed to focus on the overall functioning of a particular program or activity.

c. personal performance reports—designed to focus on the performance of the manager of a particular program or activity.

7. *Budgeting*. A budget is a plan expressed in quantitative, usually monetary, terms. It covers a specified period of time, usually one year. Anthony and Reece (2:579) describe six uses of a budget. The budget serves as:

a. an aid in making and coordinating short-range plans.

b. a device for communicating these plans to various managers.

c. a way to motivate managers to achieve the goals of their responsibility center.

d. a benchmark for controlling ongoing activities.

e. a basis for evaluating the performance of responsibility centers and their managers.

f. a means of educating managers.

[Stechert provides practical advice on the budgeting process which may be of interest to some readers (15: 80-90, 150)]

*Leadership Skills*. To be truly effective as an assistant superintendent of pupil personnel services, this administrator must act lie and be perceived as a leader. Bennis and Nanus (3:4) report that:

"Decades of academic analysis have given us more than 350 definitions of leadership. Literally thousands of empirical investigations of leaders have been conducted in the last seventy-five years, but no clear and unequivocal understanding exisits as to what distinguishes leaders from nonleaders, and perhaps more important, what distinguishes effective leaders from ineffective leaders. . . ."

Bennis and Nanus' observation notwithstanding, a few contemporary models of leadership are described below. These models are within the genre of models called "contingency models of leadership." The last perspective on leadership which is described in this section is Bennis and Nanus' response to the problem they refer to in the above quote.

1. *Fiedler's Contingency Leadership Theory* (7). Fiedler's theory of leadership is based on small-group psychology. The theory identifies two types of leaders: the task-oriented and the relationship-oriented. Fiedler's research strongly indicates that task-oriented leaders perform best in group situations that are either very favorable or very unfavorable to them. Relationship-oriented leaders do best in group situations that are intermediate in favorableness. Favorableness is that condition which enables the leader to exert influence over the group.

Fiedler claims that there are three important variables that appear to determine whether a situation is favorable or unfavorable to the leader. These variables, in order of importance, are:

a. leader-member relations: the degree to which the members of the group admire, like, and are willing to follow the leader;

b. task structure: the structure of the work to be performed by the group, the clarity of the goals and objectives, and the processes used to achieve goals and objectives; and,

c. position power: the amount of formal authority and status of the leader.

2. *The Hershey-Blanchard Model of Leadership* (10). This model has great appeal because it is easy to learn and makes intuitive sense. Hersey and Blanchard suggest that the best leadership style is one that matches the maturity level of the followers. When the maturity level of the followers is very low, the leader uses a direct and structured leadership style characterized by high task orientation and low relationship orientation. As the maturity level of the followers increases, the leader uses a more integrated blend of task and relationship behaviors. A more particpatory approach to leadership is recommended as the maturity of the followers continues to increase. The participatory approach is characterized by a high relationship orientation by the leader. Finally, very mature followers with a high level of self-responsibility or possessing a lot of knowledge about a particular situation are provided with leadership which is less directive and less obtrusive.

3. *Vroom's Contingency Leadership Theory* (16:220-234). Some leadership models emphasize the participation of subordinates in decision making while others do not. Vroom's model encourages the participation of subordinates in decision making. Vroom identified five decision-making styles:

a. the administrator solves the problem or makes the decision using information available at the time.

b. the administrator obtains needed information from subordinates, then decides on the solution to the problem.

c. the administrator shares the problem with relevant subordinates individually, soliciting their ideas and suggestions without bringing them together as a group. Then the administrator makes the decision which may or may not reflect the influence of the individuals.

d. the administrator shares the problem with the subordinates as a group, obtaining ideas and suggestions and then makes the decision, which may or may not reflect the influence of the group.

e. the administrator shares the problem with the subordinates as a group. Together they generate and evaluate alternatives and try to reach agreement on a solution.

Using the Vroom Model, the administrator chooses the approach best suited to a particular situation on the basis of answers to eight critical questions, each of which helps to clarify the problem being addressed. The questions are:

a. Is there a quality requirement such that one solution is likely to be more rational than another?
b. Do I have sufficient time to make a high quality decision?
c. Is the problem structured?
d. Is acceptance of the decision by subordinates critical to effective implementation?
e. If I were to make the decision by myself, is it reasonably certain that it would be accepted by my subordinates?
f. Do subordinates share the organizational goals to be attained in solving this problem?
g. Is conflict among subordinates likely in the preferred solutions?
h. Do subordinates have sufficient time to make a high quality decision? (17)

4. *The Bennis and Nanus Paradigm* (3). Bennis and Nanus interviewed and observed 90 people from a variety of fields with the reputation of being outstanding leaders in their fields. Bennis and Nanus looked for leaders who were creating new ideas, new policies, and new methodologies to help their organizations to achieve goals. Examples of the leaders who participated in the study were: Ray Kroc, founder of McDonald's; Robert Redford, actor and director; James Rouse, famous property developer (e.g., he developed "new town" of Columbia, Maryland); and Neil Armstrong, the first man on the moon.

In analyzing their findings, Bennis and Nanus searched for patterns that explained the leaders' success. They could not find any easily discernible patterns. The only surprise they found, however, was that almost all of the leaders in the study were married to their first spouse and they were enthusiastic about marriage as an institution.

As Bennis and Nanus continued their examination of their data over a two year period, four major themes began to emerge from their findings, "four areas of competency, four types of human handling skills, that all ninety" of the leaders embodied. These areas then became the paradigm of leadership espoused and described by Bennis and Nanus in their book. They described these four areas of competency as strategies.

a. Strategy I: *Attention through Vision*. This is a strategy through which leaders develop a vision of the future for their enterprises. This vision becomes a central focus for the organization—an agenda for moving the organization toward a desired future.

b. Strategy II: *Meaning through Communication*. After leaders conceptualize a vision for their organization, they must communicate the meaning of that vision to their subordinates. This communication is critical for helping subordinates recognize and get behind their dreams. It is a strategy for mastering communication.

c. Strategy III. *Trust through Positioning*. Bennis and Nanus say that trust implies "accountability, predictability, and reliability (3:43). People tend to trust superiors who are predictable and whose positions on issues and situations are known. People also tend to trust superiors who persistently move in one general direction toward goals, rather than vacillating from one direction to another.

d. Strategy IV. *The Deployment of Self through Positive Self-Regard*. The higher one goes on the leadership ladder, the more interpersonal and human the work becomes. The top executives who participated in Bennis and Nanus' study spent about 90 percent of their time interacting with people and focusing on the messiness of people problems. This finding points to the need for leaders to deploy themselves creatively when dealing with people, otherwise the leader runs the risk of being ineffective in handling the responsibilities of his/her position. Creative deployment means deciding when, where, and how to move into interpersonal relationships and problems.

To deploy oneself creatively, the leader must have a high level of positive self-regard which is based on a solid understanding of his/her personal strengths and weaknesses and the impact that these variables have on subordinates.

Bennis and Nanus' paradigm is an attractive one because it provides an easily understood, and more import, easily learned set of principles for effective leadership. Certainly, an assistant superintendent could increase his/her professional effectiveness by 1) creating a vision of what the pupil personnel services program is and where it should be headed; 2) communicating this vision to subordinates and others in a way that makes the vision clear and understandable; 3) developing and nurturing those conditions that create and support trust; and 4) becoming tuned-in to his/her professional strengths and weaknesses and the impact that these have on the people they lead.

## Interpersonal Communication

Because interpersonal communication is such a critical component of one's professional effectiveness, this grouping of skills receives special attention in this section of the chapter. The importance of developing and using effective communication skills is seen in the following quotation from Z. Ziglar:

> "Fifteen percent of the reason you get a job, keep that job, and move ahead in that job, is determined by your technical knowledge—regardless of your profession! That's what human engineer Cavett Robert says. What about the other 85 percent? Robert quotes Stanford Research Institute, Harvard University, and the Carnegie Foundation (which spent one million dollars and five years of research) as having prooved that 85 percent of the reason you get a job, will keep that job, and move ahead in that job has to do with your people skills and people knowledge!" (19:9)

Ziglar's statement tends to support the finding of Bennis and Nanus who note that the top leaders in their study spend almost 90 percent of their time focusing on interpersonal relationships and handling people problems. The centrality and absolute importance of people knowledge and skills must be noted and acted upon by those who are or who aspire to be an assistant superintendent for pupil personnel services. The importance of mastering a variety of communication skills becomes even clearer when the complexity and diversity of the pupil personnel services is unveiled. With this unveiling it can be seen that the assistant superintendent, in order to be effective, must organize and coordinate the various service areas. To do this s/he must master a broad set of interpersonal skills. Examples of important interpersonal skills described below.

**A Sense of Humor.** In the busy day-to-day world of an administrator a sense of humor plays an important role in maintaining his/her emotional health, and in defusing conflict situations. A sense of humor (which is aimed at oneself or at a situation—and definitely not at others) is a good foundation upon which to build other communication skills.

**Listening.** This is a critical skill for seeking to understand and help subordinates. Active listening demonstrates to others that you care about their opinions and that you are willing to consider them (although you may not agree with them).

**Giving Feedback.** An effective leader manages people to get maximum productivity. To accomplish this, Ziglar (19) says effective leaders always do two things: 1) they expect every subordinate to do their best, and 2) they always inspect performance to assure that they are getting what they expected.

Inspection of performance is not a negative thing. The lack of inspection can be demotivating to subordinates who invest time and energy in carrying out a project or in doing their jobs, only to have their work ignored or taken for granted. People have a psychological need to know how well they have done in the eyes of their superiors. Giving feedback to a subordinate on the quality of his/her performance is a critical management tool that depends on effective communication skills.

Blanchard and Lorber (4) describe the "ABC's of Management." These are:

A = Activators: what a manager does *before* performance.
B = Behavior: *actual* performance of a subordinate.
C = Consequences: what a manager does *after* performance.

Blanchard and Lorber state that only 15 to 25 percent "A" behaviors (e.g., setting performance goals) influence actual behavior ("B"). But 75 to 85 percent of actual behavior ("B") is the result of consequences ("C")—(e.g., praise or reprimand).

***Running Meetings.*** Most people complain about the quality of meetings they attend. Few people know how to organize and run a good meeting. Ziglar (19:134-135) gives readers the "Ten Commandments to End Meeting Madness."

*Decisions Before Meeting*
1. meet only if necessary.
2. limit attendance.
3. choose the best time and the right place.
4. set the agenda.

*Actions During the Meeting*
5. assign a time watcher.
6. steer the meeting along the agenda track.
7. conclude the meeting, assign responsibilities, and depart.

*Actions After the Meeting*
8. distribute the minutes in hours—not weeks (24 to 48 hours is best).
9. assign someone to report to the person in charge about how decisions made during the meeting are being implemented.
10. evaluate the meeting and abolish standing committees that are sleeping.

**Writing.** Some administrators are poor writers. Yet, writing is a central and critical communication skill. Administrators must become proficient in preparing memoranda, reports, and other written pieces of communication.

**Platform Skills.** The higher one goes up the administration ladder, the more times s/he will be called upon to speak before large groups of people. To make these platform presentations, the administrator must learn to control his/her "stage fright" and to deliver his/her message with clarity and strength. These skills can be learned by participating in training provided by such groups as Toastmasters, Toastmistresses, and the National Speakers Association.

The above list of communication skills is not complete. The administrator who is interested in mastering people skills is advised to explore the availability of intensive (a one day workshop will not do it) training workshops aimed at developing human relations and communication skills (e.g., training offered by the National Training Institute in Arlington, Virginia).

## Computer-Based Information Systems

A computer-based information system is intended to give information to various people within the school district to help them perform their duties more effectively. Bluhm (5) describes the two initial steps to be taken in establishing a computer-based information system: 1) identify the potential users of the system and 2) identify their information needs. Hussain (12) provides additional guidance for developing a computer-based informa-tion system by describing the attributes of an information system. The system provides information that is timely, accurate, relevant, and complete.

Bluhm (5:12) describes three types of computer information systems for school organizations. These systems evolved in response to the information needs of each of three administrative in an organization.

1. **Data-Processing Systems (DPS):** these are designed to provide operation-level people with information on the current status of their programs and activities.
2. **Management Information Systems (MIS):** these systems are intended to be used as decision tools for building

principals (principals are middle managers in school organizations). These systems provide direction and control information to the middle manager.

3. **Decision-Support Systems (DDS):** these information systems are for top management and are used to make planning and strategy decisions.

In establishing a computer-based information system for pupil personnel services, the assistant superintendent 1) determines who would use the system, and 2) identifies the information needs of users. A "DPS" may be established for the direct providers of pupil personnel services (e.g., for the use of counselors, school health personnel, or school psychologists). An "MIS" could be established for use by building principals to help them make decisions using data on student performance on achievement tests (the test results being provided by pupil personnel services). While a "DSS" could be designed to help the assistant superintendent and the pupil personnel services program management team to make strategic decisions about the overall program (e.g., to revamp a guidance program to better serve students).

In consideration of the complexity of pupil personnel services and the amount of diverse information needed to make decisions about students, a computer-based information system increases the effectiveness of the assistant superintendent as s/he collects, organizes, and reports data that are timely, accurate, relevant, and complete.

## Conclusion

An effective assistant superintendent for pupil personnel services works within a complex professional field. This field is composed of at least interrelated, but different, disciplines. To manage this diverse grouping of disciplines, the effective assistant superintendent must use a variety of management skills. Additionally, the effective assistant superintendent is a leader capable of developing a vision of the future for pupil personnel services within his/her school district, of communicating that vision to subordinates and others, of developing and nurturing trust, and of managing him/herself in the process. At the core of this administrator's effectiveness is a set of complex skills that help him/her to work effectively with people. Mastering these interpersonal communication skills is an absolute requirement for any administrator who is to be truly effective. Finally, an effective administrator of pupil personnel services is a person who is capable of managing the vast amount of information that is generated on a regular basis about students. The management of information is best accomplished by establishing a computer-based information system.

In reflecting on the nature of pupil personnel services, it becomes clear that the six disciplines of pupil personnel services are essential to the functioning of a school district. The importance of these services for supporting all students while they participate in the instructional program cannot be underestimated, especially for children with special needs. Consequently, a school district must excercise great care in selecting a leader-manager for this important position. Of equal importance, the school district must require the leader-manager's participation in professional development activities that increase his/her knowledge and skills in at least one of the specialty areas of pupil personnel services, management, leadership, and interpersonal communication. The investment of time and money in the selection and professional development of this leader-manager has a significant impact on the quality and effectiveness of the pupil personnel services program.

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## Five

# The Effective Assistant Superintendent—Personnel

by

**Linda A. Zurfluh**

Education is a service provided by people and with people as an end product. Most district budgets reflect the labor intensity of education through an average expenditure of approximately 80 percent for employee salary and benefits. Personnel, with its root word "person," is the focal point of human resources management in any organization. This chapter focuses on the role of the effective assistant superintendent for personnel in the management of a modern school district. It is a complex and diverse role, requiring both technical and humanistic skills. It is also a role that has been heavily impacted by recent changes in education brought about by the courts, legislative mandates, increased unionization by employees, fluctuating demographics, changing conditions of supply and demand in the job market and new definitions of the employer-employee relationship. Much has been written about the personnel function in educational administration and for a more comprehensive treatment of the subject, the reader is referred to the references listed at the close of this chapter.

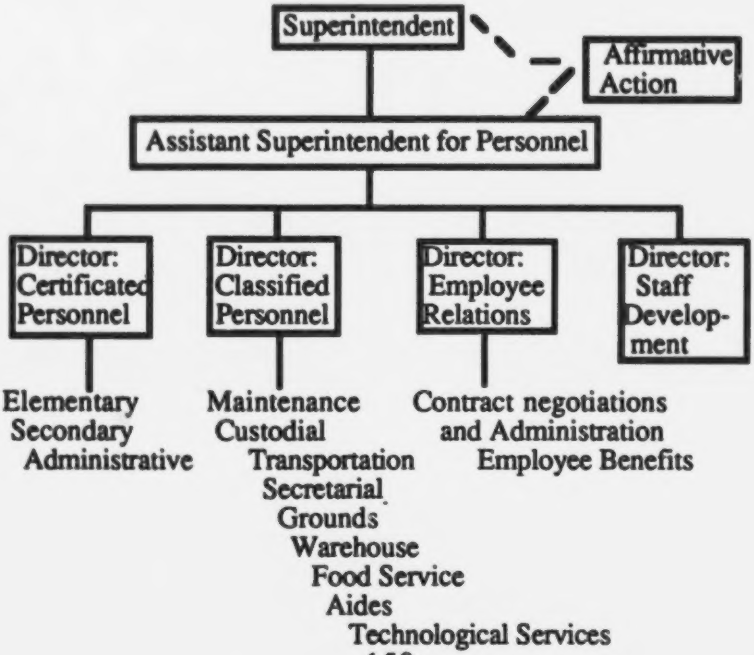
Job components of the assistant superintendent for personnel have been organized in various ways, contingent upon the organizational structure of the individual school district. A typical organizational chart for a medium to large school district is shown in Figure 1.

While each box in Figure 1 may not represent a separate administrative position (depending upon the size of the school district), the boxes indicate job functions that are historically within the comprehensive job responsibilities of the assistant superintendent for personnel. This chapter examines the standard job functions for this role and for purposes of clarity and reference expedience, is organized around these functions.

## Affirmative Action

The responsibility for affirmative action should rest either directly with the assistant superintendent for personnel or in a separate position reporting to the superintendent (see Figure 1). This reporting relationship (directly to the superintendent) is dictated by the regulations establishing affirmative action.

Figure 1
District Organizational Chart: Assistant Superintendent for Personnel


Superintendent
Affirmative Action
Assistant Superintendent for Personnel
Director: Certificated Personnel
Director: Classified Personnel
Director: Employee Relations
Director: Staff Development
Elementary
Secondary
Administrative
Maintenance
Custodial
Transportation
Secretarial
Grounds
Warehouse
Food Service
Aides
Technological Services
Contract negotiations and Administration
Employee Benefits

**Legal Basis.** "Affirmative action" is a term first introduced by President Kennedy through issuance of Executive Order 10925 in 1961. This order was expanded by President Johnson in 1967 (Executive Order 11375) and the result was to prohibit discrimination against federal employees or applicants on the basis of race, color, religion, sex or national origin. The preparation and filing of affirmative action plans was also required through executive order. Subsequent to the first executive order issuance, the concepts of nondiscrimination and affirmative action have been embodied in major pieces of national legislation. These are shown in Table 1.

Table 1

### Legal Basis for Nondiscrimination and Affirmative Action

*Equal Pay Act of 1963:* Requires all employers subject to the Fair Labor Standards Act to provide equal pay to men and women for equal work on jobs that require equal skill, effort, and responsibility and which are performed under similar working conditions.

*Title VI of the Civil Rights Act of 1964:* Prohibits discrimination based on race, color, or national origin in any program or activity receiving federal financial assistance.

*Title VII of the Civil Rights Act of 1964:* As amended by the Equal Employment Opportunity Act of 1972, prohibits discrimination against employees or applicants for employment on the basis of race, color, religion, sex, or national origin. Established the Equal Employment Opportunity Commission (EEOC).

*Title IX of the Education Amendments of 1972:* Prohibits sex discrimination against students and employees in educational institutions receiving federal financial assistance.

*Vocational Rehabilitation Act of 1973, Section 504:* Prohibits discrimination against handicapped students and employees in programs or activities receiving federal financial assistance.

*Age Discrimination in Employment Act of 1967:* As amended in 1978, prohibits age discrimination against employees or applicants between the ages of 40 and 70.

*Vietnam-Era Veterans Readjustment Act of 1974:* Requires affirmative action on behalf of disabled veterans and veterans of the Vietnam-era by contractors holding federal contracts of $10,000 or more.

*Equal Employment Opportunity Act of 1972:* Extended coverage to all private organizations employing 15 or more persons, all educational institutions, all state and local governments, public and private employment agencies, labor unions with 15 or more members, and joint labor-management training committees. Empowered the Equal Employment Opportunity Commission (EEOC) to bring suit against violating employers.

In addition to the laws listed in Table 1, many states have enacted similar or more stringent laws that address the concepts of nondiscrimination. A careful reading and frequent monitoring of state legislation should be routine practice. Additionally, state or federal agencies charged with the enforcement of these laws, issue and frequently update their enforcement regulations. These regulations require monitoring and expedient compliance to minimize the district's exposure to time consuming and costly employment litigation.

**Affirmative Action Plan.** Employers of 15 or more employees (possibly fewer if mandated by state law), are required to file an affirmative action plan and to report yearly on that plan. The plan is constructed by job category (such as food service, certificated administrative, custodial, etc.) and requires the employer to compare the protected class employee percentage with the approximate percentage distribution of protected class persons residing within the employer's statistical population area. The goals of affirmative action will be reached when the percentages of protected class persons (Asian Pacific, Black, Hispanic, Native American, Vietnam-era Veterans, etc.) employed in each job category in the district match the percentage distribution of protected class persons in the district's geographical region. When all categories of the district's work force reflect the regional population distribution, affirmative action would no longer be needed and could be phased out. It is important to monitor affirmative action progress in *each* job category, so that progress toward affirmative action can be accurately reflected and not distorted by high numbers of protected class employees historically clustered into lower paying job categories.

**Equal Employment Opportunity and Affirmative Action.** Equal employment opportunity and affirmative action are not synonymous terms. Federal law requires that work places be made up of "Equal Opportunity Employers," and most school districts carry the notice on official letterheads, all job announcements, and most general information released from the district. This phrase means that the district is committed to providing an equal chance to job applicants and that it *guarantees* the same application opportunities to all individuals, regardless of race, color, religion, national origin, handicaps, age, marital status, sex, Vietnam-era or disabled veteran status, or other extraneous factors.

Affirmative action goes beyond equal employment to use positive, results-oriented practices to ensure equal employment opportunities and to remedy the present effects of past discrimination. Thus, under equal employment, all applicants are viewed equally and are guaranteed equal access to the district's jobs. Under affirmative action, the district goes beyond equal employment to act affirmatively in the selection of individuals representing groups of protected class persons who have historically suffered the ill effects of discrimination, which have left them less able to fairly compete with those who have greater access to training or experience. Education continues to have a great need for progress in affirmative action.

### Affirmative Action Summary

1. The responsibility for affirmative action is one that must rest with a top ranking administrator.

2. The concepts of nondiscrimination are vested in numerous federal and state laws.

3. Regulatory agencies promulgate rules that must be carefully monitored for compliance and changes to avoid costly litigation.

4. An affirmative action plan is required that seeks to match the district's workforce profile by job category and protected class employment percentages to the regional population distribution.

5. Equal Employment Opportunity provides all candidates with equal access to job vacancies while affirmative action goes beyond this through results-oriented actions to remedy the present effects of past discrimination.

6. Education continues to need affirmative action to bring protected class role models into classroom and administrative offices.

## Personnel Administration

This job function includes the basic human resources functions of both certificated and classified personnel. Certificated personnel are employees who are certified or licensed by the state to perform professional jobs in the schools. Classified personnel are employees who may hold professional or nonprofessional jobs in the schools but are not required to hold state professional education certificates as a condition of employment. Major job functions applicable to both certificated and classified staff include:

- Manpower forecasting and planning
- Recruitment and selection of staff
- Orientation and vertical staffing
- Evaluation of staff
- Employee discipline

**Manpower Forecasting and Planning.** Every school district must rely on a specialized and diverse corps of employees who perform a myriad of job functions, which include such things as driving a bus, roofing a building, teaching high school calculus, operating a sophisticated mainframe computer, managing a school, or maintaining a technical piece of machinery such as a steam boiler or a diesel bus. Having the needed number of employees with the needed skills both now and in the future is the challenge of manpower forecasting and planning.

**Predicting Needs.** The most commonly accepted forms of need prediction include:

1. *Educated Forecast:* District administrators who are familiar with district employment requirements and job changes forecast needed skills and employees based upon their past experience.
2. *Trends Projection:* Historical trends previously experienced for growth and attrition are projected into the future.
3. *Job Analysis:* Each employee is reviewed by job category to gauge predictive information.

As most of the employment needs of a school district are based upon student enrollment, predictions of future enrollment are vital. Two techniques often used in conjunction with each other are:

1. *Cohort-Survival:* The live birth rate is projected forward to school entry..
2. *Percentage of Retention:* Based upon historical retention of students. Reflects the impacts of death, immigration/emmigration from the district, loss to private schools, etc.

These two techniques can be used to project entry into the school district. Once entry is achieved, retention data from past cohort groups will serve as a predictor for future years. In cases where community demographics (especially declining enrollment) is an issue, the Keough Indicator Survey Scale can be used to assess the social, financial and residential factors existent within the community, not anticipated enrollment.

**Recruitment and Selection of Staff.** Figure 2 describes a standard process for the recruitment and selection of staff.

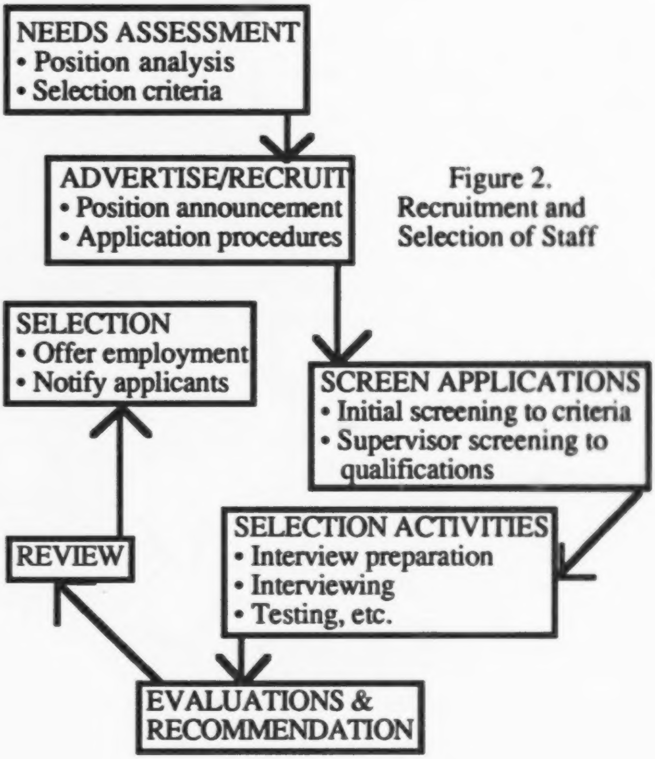

NEEDS ASSESSMENT
• Position analysis
• Selection criteria
ADVERTISE/RECRUIT
• Position announcement
• Application procedures
SCREEN APPLICATIONS
• Initial screening to criteria
• Supervisor screening to qualifications
SELECTION ACTIVITIES
• Interview preparation
• Interviewing
• Testing, etc.
EVALUATIONS & RECOMMENDATION
REVIEW
SELECTION
• Offer employment
• Notify applicants

Figure 2.
Recruitment and
Selection of Staff

Each of the steps in the recruitment and selection of staff (Figure 2), have been operationally defined in Table 2.

Table 2
**Recruitment and Selection of Staff**

**Needs Assessment**

*Objective:* To insure that the specific job to be filled is accurately described and that all necessary, job-related qualifications are listed.

*Responsibility:* Principal/Supervisor (Operational); Affirmative Action (Review); Personnel Office (Action)

*Procedure:* 1) The principal or supervisor notifies personnel of an opening through submission of a position analysis; 2) Personnel confers with the affirmative action officer and refers a copy of the analysis for data tracking; 3) The principal/supervisor submits to personnel the selection criteria which specify in objective terms the knowledge, measurable skills and abilities needed to perform the job described in the position analysis.

## Advertise/Recruit

*Objective:* To develop, publish and distribute position-opening announcements through all appropriate avenues to effectively reach potential applicants.

*Responsibility:* Personnel

*Procedure:* 1) Personnel develops position-opening announcement based on the job description and qualifications and additional information provided by the position analysis; 2) Each position-opening announcement should include application procedures and notice of equal employment opportunity; 3) Position announced to employees of the district and to outside employment organizations and referral sources; 4) Two calendar weeks is recognized as a minimum advertisement period; 5) At times when an adequate pool of qualified in-district employees exist, the position may be advertised to current employees only (in-district job posting).

## Screen Applications

*Objective:* To eliminate unqualified applicants and narrow the applicant pool to a manageable number of candidates for selection activity purposes, making certain that qualified applicants from protected groups are not systematically removed from consideration.

*Responsibility:* Principal/Supervisor (Operational); Affirmative Action Office (Review); Personnel Office (Approval)

*Procedure:* 1) Personnel screens applicants who clearly do not meet minimum qualifications advertised; 2) Principal/Supervisor screen to the selection criteria previously established; 3) Principal/Supervisor refers to personnel all candidates screened out, citing criteria-based reasons for the screening; 4) Personnel reviews, approves and notifies candidates screened out and those selected for interview; 5) Personal office will assure that members of protected groups are not systematically removed from consideration through the application of higher-than-minimum qualifications standards during screening.

## Selection Activities

INTERVIEW PREPARATION

*Objectives:* To plan the job-related interview questions and the evaluation process that will be used, and to orient members in the interview team to create a common understanding of the overall hiring processes and their role in it.

*Responsibility:* Principal/Supervisor

INTERVIEW

*Objective:* To obtain relevant information from the applicants about their job-related knowledge, skills and abilities.

*Responsibility:* Principal/Supervisor

TESTING

*Objective:* To obtain relevant information about applicants' specific job-related skills and/or knowledge.

*Responsibility:* Principal/Supervisor or Personnel (Operational); Affirmative Action (Review); Personnel (Approval)

EVALUATION AND SELECTION

*Objective:* To develop a recommendation for hiring, giving specific reasons for the recommended selection.

*Responsibility:* Principal/Supervisor

REVIEW AND SELECTION

*Objective:* To review procedures, criteria, documentation and recommendation from the Principal/Supervisor and make a final selection to be recommended to the school board for ratification.

*Responsibility:* Personnel Office (Operational); Affirmative Action (Review); Personnel Office (Approval)

*Procedure:* 1) Supervisor's recommendation is reviewed; 2) Personnel confers with Affirmative Action; 3) References are checked; 4) Personnel conducts final interview; 5) Personnel recommends employment to Board; 6) Non-selected candidates are notified; 7) Position file of selection process maintained for a minimum of one year.

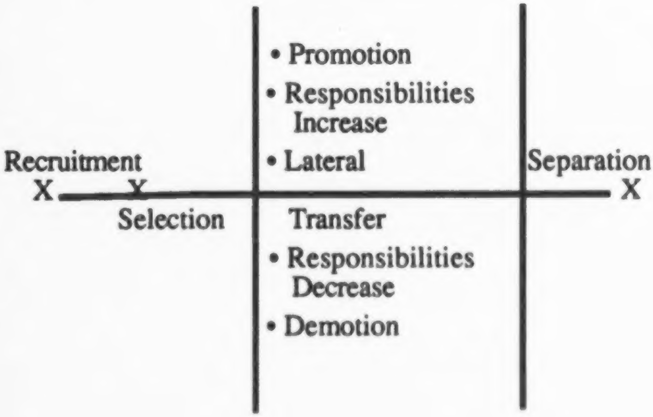
## Orientation and Vertical Staffing

**Orientation.** The orientation or induction of new employees is an administrative responsibility that should be carried out both centrally (orientation to the district) and at the work site (orientation to the school or work unit). Orientation maximizes the transition ease for the new employee and others who will be working with the new employee. Viewed in light of the investment made by the district during its initial recruitment and selection process, orientation is a critical first step toward the retention of this employee and should be performed regardless of the size of the district.

**Vertical Staffing.**"Vertical staffing" is a term applied to the disposition of staff during their period of employment and refers to movements made within the organizational chart (see Figure 3).

For most employees, staffing changes are impacted by the terms and conditions of the collective bargaining agreement that applies to their bargaining unit. However, all such job changes are handled through the personnel office and are an important function for the district and the individual employee.

Figure 3
**Vertical Staffing**

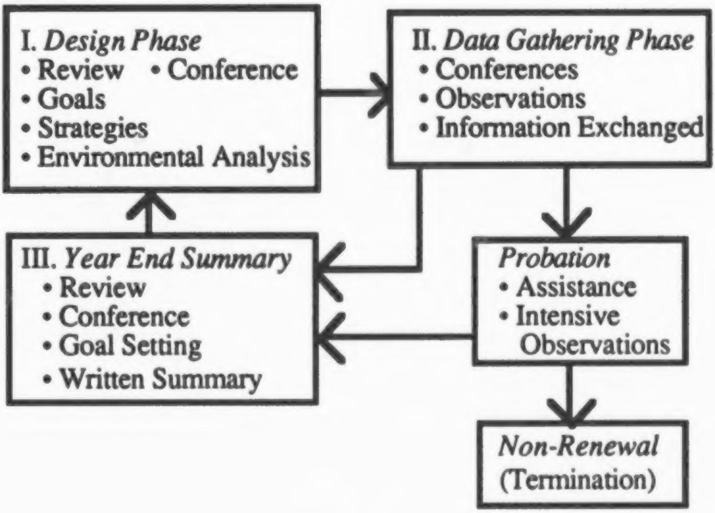

• Promotion
• Responsibilities Increase
• Lateral
Recruitment
X
X
Selection
Transfer
• Responsibilities Decrease
• Demotion
Separation
X

## Evaluation of Staff

Staff evaluation is an ongoing process that is performed yearly for all employees. The evaluation of staff is regulated by state law and collective bargaining agreements (where present). Figure 4 identifies the components of a standard yearly evaluation cycle.

Figure 4

**Yearly Evaluation Cycle**


I. *Design Phase*
• Review • Conference
• Goals
• Strategies
• Environmental Analysis
II. *Data Gathering Phase*
• Conferences
• Observations
• Information Exchanged
III. *Year End Summary*
• Review
• Conference
• Goal Setting
• Written Summary
*Probation*
• Assistance
• Intensive Observations
*Non-Renewal*
(Termination)

The evaluation process of a typical employee is described in Figure 5.

Figure 5
**Evaluation Process**

| STEP | COMPONENT | OBJECTIVE |
|---|---|---|
| 1 | Goal Setting | Employee and supervisor define yearly goals |
| 2 | *Observation Cycle(s) | Provide set, gather data and share progress toward goals |
| 3 | Mid-Year Evaluation | Formal check on goal progress |
| 4 | *Observation Cycle(s) | Provide set, gather data and share progress toward goals |
| 5 | Year End Appraisal and Suggested Goals for Next Year | Completion of annual evaluation and project goals for new year |

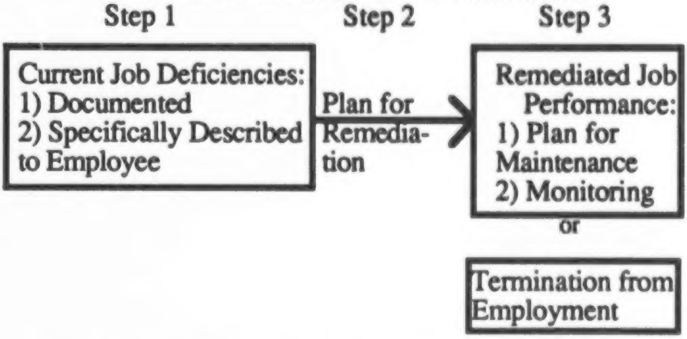
*Each observation cycle includes: 1) Preconference, 2) Data collection, 3) Post conference, and 4) Written summary

The reader is referred to timelines and content specifics for the evaluation process which are contained in state law and/or collective bargaining agreements.

**The Marginal Employee.** Employees whose performance is judged unsatisfactory, should be placed in a structured plan for remediation (see Figure 6).

Figure 6

**Structured Plan for Remediation**


Step 1
Step 2
Step 3
Current Job Deficiencies:
1) Documented
2) Specifically Described to Employee
Plan for Remediation
Remediated Job Performance:
1) Plan for Maintenance
2) Monitoring
or
Termination from Employment

In Step 1, the current job deficiencies are described. Those deficiencies have been documented over time by the supervisor, and specifically described to the employee. In Step 2, the plan for remediation is structured around the following questions:

1) What will the deficiencies look like when they have been remediated? (Described in behavior-specific terminology).

2) What is the employee's role and responsibility in the remediation process?

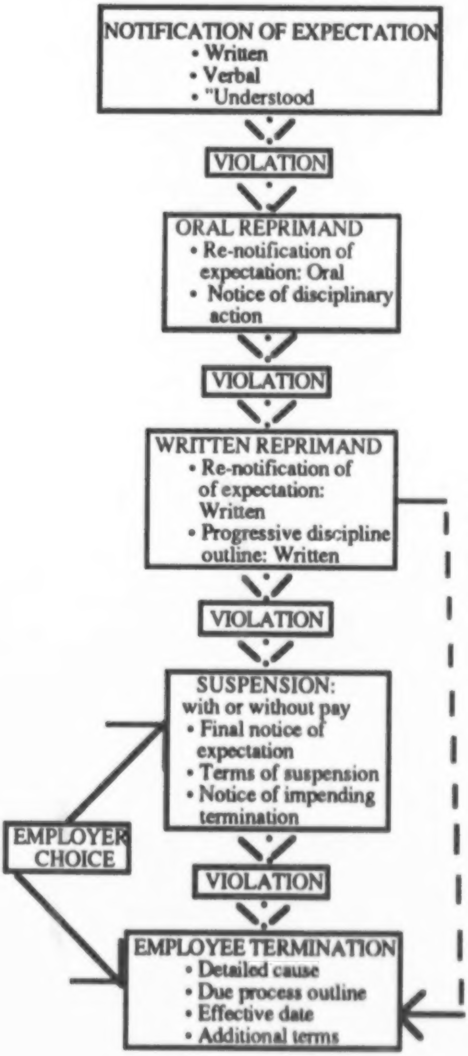
3) What is the supervisor's role and responsibility in the remediation process?

4) What resources are available?

5) What is the timeline and what activities should be expected?

In Step 3, the plan for remediation concludes with either the attainment of acceptable job performance or termination from employment. Remediated job performance should include a plan for maintenance of acceptable standards and regular monitoring by the supervisor with feedback to the employee.

Figure 7
**Progressive Discipline**


NOTIFICATION OF EXPECTATION
• Written
• Verbal
• "Understood
VIOLATION
ORAL REPRIMAND
• Re-notification of expectation: Oral
• Notice of disciplinary action
VIOLATION
WRITTEN REPRIMAND
• Re-notification of of expectation: Written
• Progressive discipline outline: Written
VIOLATION
SUSPENSION: with or without pay
• Final notice of expectation
• Terms of suspension
• Notice of impending termination
EMPLOYER CHOICE
VIOLATION
EMPLOYEE TERMINATION
• Detailed cause
• Due process outline
• Effective date
• Additional terms

## Employee Discipline

*Due Process and Progressive Discipline.* Embodied in most labor law statutes dealing with the employer-employee relationship and in most collective bargaining agreements, is the concept of "due process" for each employee. Due process entitles the employee to fair treatment through progressive discipline appropriate to the offense. The steps normally taken in progressive discipline are described in Figure 7.

Inherent in each of the steps of progressive discipline is the concept of "notification of expectations." Underlying this concept is the belief that employees are *entitled* to an employer explanation of what the employer expects of the employee. Further, the employee is entitled to know (from the employer) what penalties will be imposed for failure to meet those expectations. Lastly, the employee can expect that other employees will be treated in a like manner, relative to both the employer's expections and penalties for failure to comply.

*Egregious Acts.* The courts have recognized that some actions to be so egregious that the employer is immediately justified in terminating the employee. For school districts, examples of such acts include: 1) Sexual molestation of a child; 2) Violent/harmful behavior; 3) Theft.

For these and other egregious acts, the first discipline step may well be termination.

**Discipline Distinguished from Evaluation.** At times the supervisor will be confused about whether to pursue a course of discipline or vigorous evaluation with the employee. This confusion is often based upon confusions about the differences between employee discipline and employee evaluation. Discipline and evaluation are two modes of employer-initiated separation from employment, but the processes used in each case is separate and distinct. (See Figure 8)

Figure 8

**Discipline v. Evaluation**

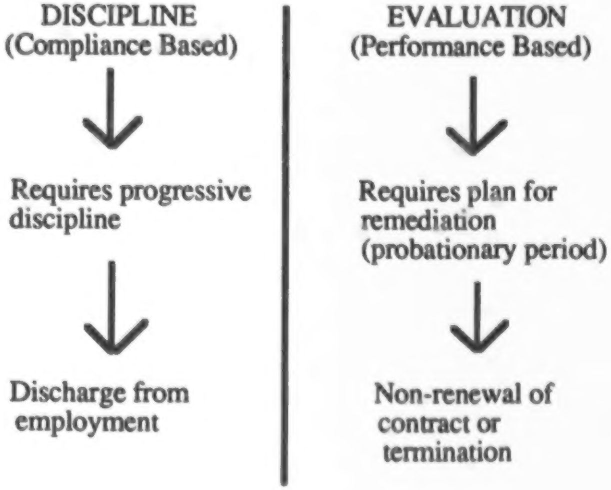
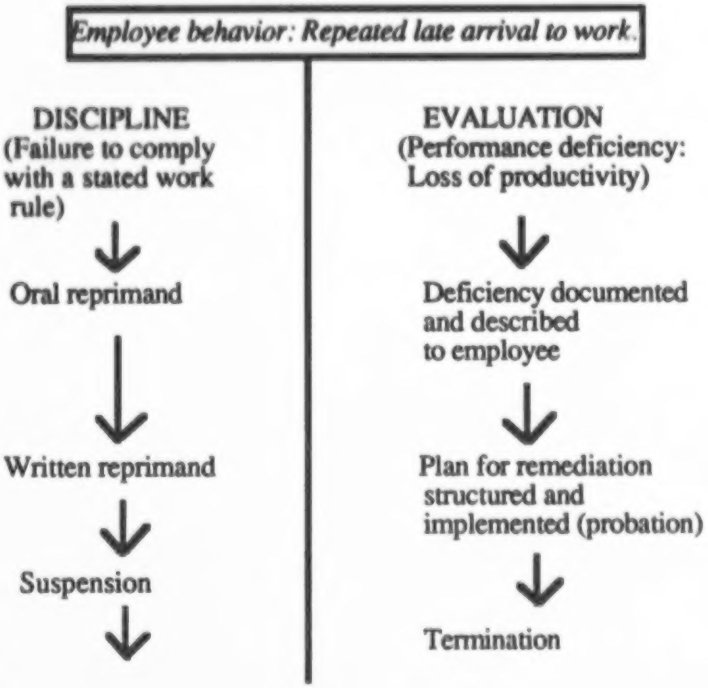

DISCIPLINE
(Compliance Based)
Requires progressive discipline
Discharge from employment
EVALUATION
(Performance Based)
Requires plan for remediation (probationary period)
Non-renewal of contract or termination

Figure 9
**Example of Discipline v. Evaluation**


*Employee behavior: Repeated late arrival to work.*
DISCIPLINE
(Failure to comply with a stated work rule)
Oral reprimand
Written reprimand
Suspension
EVALUATION
(Performance deficiency: Loss of productivity)
Deficiency documented and described to employee
Plan for remediation structured and implemented (probation)
Termination

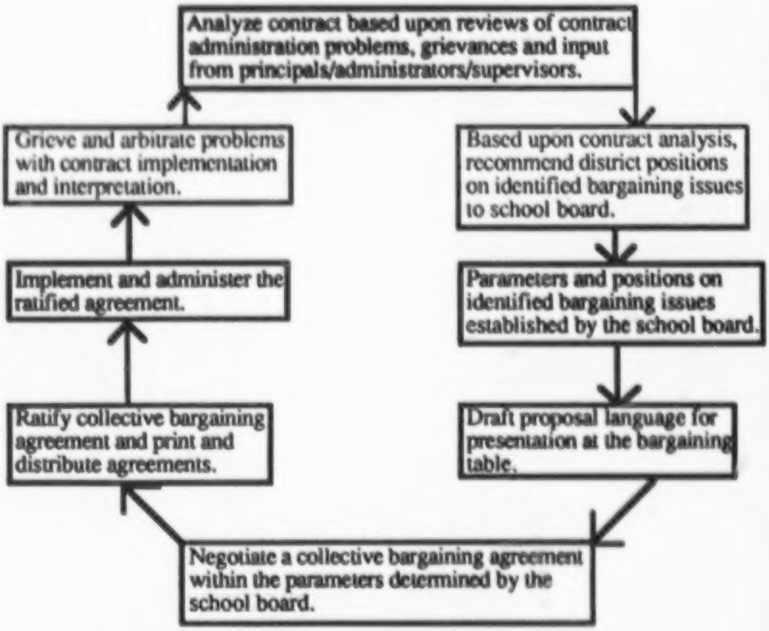
Separate sets of laws and collective bargaining provisions pertain to discipline and evaluation. The supervisor should be careful to follow the vertical path described above and not move horizontally to cross the line separating discipline from evaluation. Separating discipline from evaluation does not, however, preclude the possibility that *simultaneous* actions might be taking place for an employee behavior. Figure 9 above demonstrates an example.

In the above example, the employee is not being disciplined for his loss of productivity, but for his/her failure to comply with a stated work rule. Similarly, the employee is not being evaluated on his/her ability to follow work rules, as that is a minimum expectation. Evaluation of the employee is based solely upon job performance, which in this example is deficient.

## Personnel Summary

1. Certificated staff hold professional state licenses or certificates as a condition of employment. Classified staff are not required to hold professional education certificates.
2. Manpower needs are most often predicted through: Educated Forecast, Trends Projection, and/or a Job Analysis.
3. Student enrollment is most often predicted through use of the Cohort Survival and Percentage of Retention predictors.
4. The Keough Indicator Survey Scale can predict community trends but it cannot be used to predict immediately anticipated statistical enrollment.
5. A standard process for the recruitment and selection of staff includes the following steps: Needs Assessment, Advertisement/Recruitment, Screening Applications, Selection Activities, Evaluation and Recommendation, and Review and Selection.
6. The orientation of new employees is a critical first step toward their retention in the district.
7. Vertical Staffing refers to employment changes within the district, such as promotion, lateral transfer, and demotion.
8. Staff Evaluation is an ongoing yearly process for all employees.
9. Evaluation of the marginal employee centers on the Plan for Remediation.
10. Employee Discipline embodies the concept of due process for employees that is carried out for any rule violation except in cases of egregious acts.
11. Discipline and evaluation are separate and distinct employer responsibilities, with differing sets of laws and collective bargaining provisions controlling each.

Figure 10
**The Collective Bargaining Cycle**


Analyze contract based upon reviews of contract administration problems, grievances and input from principals/administrators/supervisors.
Based upon contract analysis, recommend district positions on identified bargaining issues to school board.
Parameters and positions on identified bargaining issues established by the school board.
Draft proposal language for presentation at the bargaining table.
Negotiate a collective bargaining agreement within the parameters determined by the school board.
Ratify collective bargaining agreement and print and distribute agreements.
Implement and administer the ratified agreement.
Grieve and arbitrate problems with contract implementation and interpretation.

The above cycle can be described in other terms, but the basic process remains the same. A review of this cycle indicates that the actual at-the-table collective bargaining is only one-eighth of the process cycle. It is the "tip of the iceberg" that receives the publicity, but the greater amount of work in collective bargaining is in the seven other areas.

## Employee Relations

Collective bargaining laws have brought formalized labor relations to education. In most states, educational employees are now empowered to bargain collectively for wages, hours, and terms and conditions of employment. Bargaining units have been formed by job category (teachers, custodians, bus drivers, etc.), with union representation for each. Many states also provide for the unionization of administrative job groups (principals, directors, etc.), with different union representation for each. The need to bargain with multiple unions and administer multiple collective bargaining agreements has necessitated district expertise in employee relations.

### Negotiating the Agreement

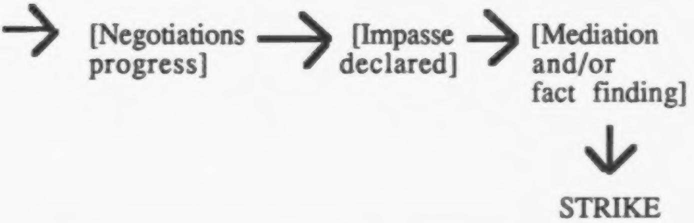
Figure 10 depicts the typical bargaining cycle for school district contracts.

While the actual at-table talks with union representatives may span April through Labor Day, collective bargaining activities are a year-round responsibility for any given unit. In medium to large school districts, it is not uncommon to have employees represented by as many as ten or more unions, each requiring separate negotiations and each culminating in a separate collective bargaining agreement. In the past 10 to 15 years, employee relations have grown from a non-entity to a year-round responsibility in the public schools.

### Traditional Collective Bargaining

Traditionally, collective bargaining is a process of compromise In this process, both sides come to the bargaining table with magnified demands and a hope to get their needs met through agreement to terms that are far less than the original demands but still constitute what was expected at the outset. The need to inflate the statement of needs and initial demands is a necessary part of the compromise process, but it engenders an inherent distrust that adds to the adverserial nature of collective bargaining. In the best of outcomes, both sides emerge from the collective bargaining process with their basic needs met and some of what they demanded beyond that. In the worst of outcomes, the process breaks down and the educational work of the district is brought to a halt as a result of a "work stoppage," or strike. Figure 11 depicts a typical collective bargaining process that proceeds to a strike.

Figure 11
**Progression to Strike**



An "impasse" can be declared by either side and its declaration indicates that progress in the negotiations has ended without external help. External (third party) help may come in the form of a mediator (an outside individual requested by the parties to facilitate the dispute resolution) or a fact finder (an outside individual charged with conducting an "investigation" to ascertain and make known the facts of the dispute). In the event that these third party processes fail, the district is at risk for a strike. Few states authorize legalized strikes by public school employees, yet strikes do occur in the majority of states and are an historic response to unsettled labor disputes.

## Collaborative Bargaining

In the 1980's a new alternative form of collective bargaining began to emerge. Collaborative bargaining is based upon work by Fisher and Ury and was first published in their book, *Getting to Yes*. This revolutionary philosophy promoted a "Win/Win" form of negotiations which is based upon principled negotiations rather than the positional bargaining so inherent in the traditional form of historic collective bargaining. In collaborative bargaining, both sides bring their problems to the table for joint resolutions rather than unilaterally determining their problem solutions and announcing their inflated demands. Problem statements are discussed at the table in a standard brainstorming format with greater participation from members of both sides. This new form of negotiations has been utilized successfully in school districts and marks a significant and positive change in labor relations.

## Contract Administration

The administration of the negotiated agreement is a mangement function that is closely monitored by the labor union. When disputes arise, the conflict resolution process built into the collective bargaining agreement can be activated through a union-filed grievance. A grievance is an allegation made by a member of the bargaining unit or by the union itself, that a section of the collective bargaining contract has been misinterpreted or misapplied by the school district. The grievance process is typically a multi-step sequence of formalized conflict resolution. Figure 12 shows a typical collective bargaining grievance process.

**Grievance Step 1.** At Step 1 of the grievance process, the immediate supervisor is charged with the responsibility of hearing and responding to the grievance because most often it is the supervisor's decision that is in dispute under the terms of the contract. Principals and classified unit supervisors are the primary contract administrators of any negotiated agreement. Their thorough understanding of the terms and conditions contained in the negotiated agreement is critical to the minimization of labor disputes.

Responding to a Step 1 grievance is an important role for the immediate supervisor. Table 3 identifies the "Components of a Step 1 Response" and Table 4 contains a sample response to a grievance at Step 1.

If the supervisor's response at Step 1 is satisfactory to the grievant, the conflict is resolved. If it is not satisfactory, the grievant may request the union to file the grievance at Step II.

**Grievance Step II.** Step II in the grievance process is normally heard by the district's chief negotiator and is presented by the union's chief negotiator, who represents the grievant. The negotiators are in a position to know the bargaining history of the contract section(s) at issue and any precedental events or

Figure 12
**Grievance Process**

| *Grievance Step* | *Meeting Held With* | *Respondent* |
|---|---|---|
| 1 | Grievant, immediate supervisor, union representation | Immediate supervisor |
| 2 | Grievant, chief negotiators (district and union) | District chief negotiator |
| 3 (Arbitration) | Arbitrator, district counsel, union counsel, witnesses | Arbitrator |

Table 3
**Components of a Step 1 Response**

1. RECITATION OF THE FACTS OF THE CASE
   What happened? Be specific, Name, dates, places, etc.
2. ALLEGED CONTRACT VIOLATIONS
   Article and section.
   Basis for disputed allegation.

3. PRESENTATION OF *YOUR* CASE
    - Development of a response.
    - Conveyance of a sense of "being heard."
    - Precedent?
    - Past practice?
    - Bargaining history?
    - Other interpretations of that language?

4. DECISIONS AND "DICTA"

    *Options*
    - A. Grant remedy requested.
    - B. Deny grievance.
    - C. Alternative compromise.

Table 4

### Sample Step 1 Grievance Response

*Ima Grievant, Albert Shanker Elementary School*

3 November

Dear Ima,

| | |
|---|---|
| Recitation of Facts | We met in my office on 2 November to discuss the grievance you filed on 31 October. This letter constitutes my response to Step I of the grievance. |
| Alleged Contract Violations | Your grievance stems from actions I took on 31 October when I directed you to supervise the all school Halloween party during your regularly scheduled planning time. You contend that this directive violated Article 17, Section 2 and 3 of the collective bargaining agreement. |

| | |
|---|---|
| Your Case | The purpose of planning time is critical to your successful functioning as a 4th grade teacher. I fully agree that planing time is a vital factor, which is clearly reflected in the negotiated agreement. That agreement requires that "30 minutes of planning time per day be scheduled within the normal work day for all teachers" (Article 17, S 2). As you know all, teachers here at Shanker Elementary do in fact have 42 minutes per day scheduled as regular planning time. The concepts of "normal" and "regular" did not apply on 31 October when we |
| Decision | had 422 costumed youngsters. As your normal schedule provides for planning, I find no violation of the agreement and therefore deny your grievance. |
| Dicta | Your help was appreciated in supervision which assured a safe and happy celebration of the Halloween holiday for all our students. I am sorry for any inconvenience caused to you but trust that we will now successfully move forward for our students here at Shanker. Please feel free to call upon me if you have any questions or concerns about the contents of this letter. |

Sincerely,

Patty Principal

past practice history under the term of this collective bargaining agreement. Timelines prescribed by the collective bargaining agreement are in effect. The district's negotiator must hear the Step II grievance and respond in writing within an allotted time. If the response is satisfactory to the union, the grievance is resolved and this decision sets a precedent for future contract administration by the district and any subsequently similar grievances. If the union is not satisfied with the district's response at Step II, it may file for arbitration, which is the third and final step in the grievance process.

**Grievance Step III: Arbitration.** Arbitration is normally a binding culmination to a rights dispute under the terms of a negotiated agreement. An independent third party individual is selected by the parties as an arbiter of the dispute. The selection process, timelines and mechanics of arbitration have been previously negotiated and are contained in the collective bargaining agreement. An arbitration is similar to a judicial trial process, except that there is little opportunity to appeal the arbitrator's decision (award). Arbitration awards are precedental and binding on both the district and the union. The advantage of arbitration is that the dispute has final settlement. The disadvantages of arbitration include cost, time consumption, and the fact that a decision imposed on the parties by an ( arbitrator) with little or no history of the district or even public education can sometimes result in a serious detriment to the best interests of the district. Because of these factors, arbitration is a serious commitment for both sides and a significant motivation for settlement at Step II of the grievance process.

## Informal Conflict Resolution

Formal conflict resolution through the grievance stages is a time consuming and inherently adversarial process. The formal conflict resolution experience quickly sensitizes both sides to the utilization of alternatives whenever possible. Informal conflict resolution provides alternatives to the grievance process for both the immediate supervisor and the chief negotiators.

For the immediate supervisor, informal conflict resolution is focused on the identification of and attention to problems at the earliest possible time. The operative difference between the resolution of a conflict informally (without grievance) or formally (through the grievance process) is most often the amount of time that has passed since the point of problem origination. Early identification of a problem can often lead to a resolution through the simpler and preferable informal process.

The process utilized by the chief negotiators to resolve problems informally is known as "meet and confer." Meet and confer sessions are typically held on a regular basis throughout the year as a communication tool and a way for both sides to jointly address possible or potential problems before they become real problems. This process saves valuable time through informal conflict resolution and serves to build a collaborative problem solving trust that can be vital in the next negotiations process.

## Employee Benefits

The administration of benefits provided to employees as a result of collective bargaining is a complex and growing task. Such benefits often include insurance provisions (medical, dental, long-term disability, life and salary continuation), tax shelter annuities, retirement plans, unemployment compensation, worker's compensation, leave provisions (illness, injury, emergency, vacation, child care, bereavement, military, personal, sabbatical, union business, compensatory time, unpaid, etc.) and employee assistance programs. The district expense for providing benefits will average from 19 to 26 percent of the amount expended for salaries. Mounting costs of these benefit programs and the technical nature of their administration make them a critical area of management that is normally vested in an expert technician who works closely with the employee relations and personnel functions.

## Personnel Summary

1. Employee relations has become a needed area of expertise for the school district.

2. The collective bargaining process is a year-round active area of responsibility, which must be replicated for each separate union.
3. Traditional collective bargaining is an inherently adversarial process of compromise that is intended to meet the basic needs of both sides.
4. When collective bargaining breaks down, external help may be solicited from a mediator or fact finder.
5. Failure of the collective bargaining process may result in a work stoppage or strike, which has occurred in school districts in a majority of states.
6. Collaborative bargaining is a new alternative form of collective bargaining that is based upon principled negotiations of interests through joint problem solving conducted at the bargaining table.
7. Contract administration is a management function that is monitored and challenged by the union through the grievance process.
8. Arbitration is the final grievance step and is binding for both sides.
9. The informal conflict resolution process is best utilized by the immediate supervisor through early detection and attention to problems and by the chief negotiators through meet and confer.
10. Employee benefits are provided through the negotiations process and constitute a significant expenditure for the school district.

## Staff Development

The effective management of human resources must provide for training and retraining programs for its employees. Training programs are aimed at the deployment of new skills in an employee. Retraining programs are designed to update or improve previously acquired and needed employee skills. Both forms of staff development are vital to the effective and improved operation of the district and may be accomplished through 1) utilization of skills already operative within the district's structure (internal staff development), 2) utilization of an outside expert to provide in-district training, or 3) sending employees to an outside training location for skill development.

### Internal Staff Development

School districts specialize in the education of people. As such, districts are in an expert position to provide staff development to its employees through the utilization of its own employee skills. In this way, staff development programs can effectively be carried out at minimum expense. This form of staff development would appear to be the most obvious, but for a myriad of reasons, it is often under utilized.

### External Expert

A common staff development format is to "import" a recognized expert to provide information or training to target employees on a short term or one-time-only basis. The advantage of external experts is that they have an expertise in a specified area of need and they are often able to provide new or fresh ideas from a perspective much larger than the local district. External experts can be informational, inspirational, or specific problem solvers. However, effective staff development through long-term change requires that the expertise originally provided by the external agent be ultimately cultivated and maintained within the district. Without the cultivation and maintenance of this expertise, the benefits of an external expert will soon be lost.

### Outside Training Programs

Staff development through outside training programs may be accomplished through the utilization of colleges, vocational schools, professional conferences, other school districts, private business and industry, or specialized workshops. Generally, a single or small cadre of employees will be sent with an expectation that once their skills are developed, they can be instrumental in the training of other district employees. This form of staff development may be initiated by the district or by the employee, with the cost generally borne by the initiator.

### Staff Development Summary

1. Training involves the development of new employee skills.
2. Retraining is a means of updating or improving existing and utilized employee skill areas.
3. Internal staff development involves the utilization of existing employee skills to train other district employees.
4. External expert staff development begins with the acquisition of a recognized expert to provide one-time or short-term training with the intent of developing that expertise within district employees.
5. Outside training programs may be utilized by the district or by the employee to provide for the training or retraining of employees.

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## Six

# The Effective High School Principal

by

**Jeri L. Engelking**

## Introduction

How can the job of being an effective high school principal be described? What are the criteria by which this job can be judged? Which aspects of the effective principal's job are the most important? How do effective principals contribute to the overall quality of schools? Can these and other similar questions be answered in the same manner as they were 10 to 20 years ago? Numerous studies on effective schools have been published over the last few years, and the research generated from these efforts has shown a recurring pattern in the characteristics of effective schools that are either directly or indirectly related to principal effectiveness (1; 12; 17; 25; 33). Those characteristics are:

1. strong administrative leadership,
2. a school climate conducive to learning
3. a school-wide emphasis on instruction,
4. high expectations for student achievement and staff effectiveness, and
5. systematic monitoring of pupil performance.

Although the effective schools research has identified these characteristics as being found in schools that do a "good" job, there has been developed no single common definition of an effective principal. But despite this absence of a definition or even a list of characteristics for an effective principal, researchers agree that certain principals are indeed effective. Academically students perform well in the schools where these principals are located; their communities seem to have a common sense of purpose, and there is an overriding positive attitude about education in their schools (25).

How then does this situation come about? Significant changes have been taking place over the past few years in how leadership at the high school building level is being viewed, understood, and practiced. These changes, according to Thomas J. Sergiovanni (46), are part of an emerging administrative and organizational culture in America's schools that reflects new values, beliefs, and commitments that have been adopted in the methods of leadership found in effective schools. Necessity has often led to new practices being developed, and it is clear that the various internal and external conditions affecting schools today in America have provided much impetus for these changes.

The belief that education is the key that can and must make a difference for all children, no matter what their background may be, is now widely accepted. Public expectations for schools have risen. The numerous national reports and blue ribbon studies about the status of schooling in the United States have fostered many suggested changes and even new legislation. (See for example references 3; 19; 35; 36; 50). There are new commitments to efficiency and high performance that call for increased productivity at the same costs as before. Teaching staffs are calling for an improved quality of worklife and alternatives to the one-track teaching experience. Forces such as these are in reality catalysts for change in the way we organize, manage, and lead our schools into the 21st century.

## Building Leadership

An effective high school principal is called upon to utilize a wide range of administrative competencies in carrying out the job. This role requires both an acquired knowledge and the background and skills necessary to effectively apply this knowledge. No preparation program can assure a high school administrator competency in these skills over a long period of time. The skills and knowledge must be continually updated and modified to respond to the challenge of an ever-changing world and the variety of student and staff needs encountered. Common in the literature among the skills of effective administrators are the following characteristics: They show a strong display of professional behavior and role modeling; they understand and foster the contribution of teachers to the overall goals of the school; they are highly visible and regularly visit and observe classrooms; they are able to make useful suggestions for the improvement of instruction (24; 49).

These characteristics are observable in the effective high school administrators' proficiency in regard to how they organize the school, in their financial management, and in the manner in which they deal with the many political pressures and influences that schools must contend with in their day-to-day operation.

**Organizational Administration.** The organization of any particular school is drawn mostly from the vision of the principal. This is in accordance to how s/he interprets the school's mission, goals and objectives to be accomplished during his/her tenure at the school. The organizational format or physical arrangement will be different from one school to another but should be based on the principal's analysis of three key areas: 1) the needs of the students in that school, 2) the unique range of competencies of teachers and other staff, and 3) the priorities of the community (44:147-161). Once these areas have been assessed and studied, the principal can then move on to other considerations such as resources available, space limitations, and the elements of time needed to formulate the best possible organizational combination of talents to achieve the goals of the school.

In organizing the functions for daily operation of a school, effective principals perform well in the following areas: They develop and implement effective administrative procedures in the running of the school that are consistent with the philosophy and policies of the board of education and are aligned with the master contractual agreement in force; they comprehend and utilize skills of effective time management in organizing their day; they develop and implement schedules that are equitable and effective in carrying out the mission of the school; they oversee the management and maintenance of the physical plant of the school; they collect, assess, and use data about the school and the students in their decision-making; they use good written and oral communication skills in interpersonal relations and conferencing when working with staff, students, and patrons; they make program judgments and decisions based on the latest findings of research; they organize and allocate human and material resources to the best advantage of the school in accomplishing their goals and objectives; they understand and apply the latest principles of school law as they relate to the building level; and they actively solicit, train and assign volunteers and aides in their schools (5; 14: 28-32; 24; 48: 346-352).

At the same time, a long-range strategic approach in planning to meet future needs and implement goals should also be incorporated by tracking societal trends, population movements, new technological discoveries, and educational innovations.

**Financial Administration.** Initially, a sound school program is based upon sound financial management. Goals and objectives for the school must first be established within the parameters set by the school board in its budget. According to Rutherford (42: 31-34) and Huddle (25) principals must be familiar with and understand the relationship between the various aspects of their instructional program and the overall budgeting process. Principals in effective high schools then become creative in finding sources of revenue to support the school program. They see beyond the formal budgeting process and seek ways to involve many different kinds of groups and individuals in providing support for their program. They actively communicate the future directions and needs of the school, they identify and take advantage of opportunities and resources that come about through change, they seek and develop grant proposals, and they are instrumental in establishing productive school/business relationships.

To bring about this type of effective involvement in the school budgeting arena, a variety of ideas have been suggested in the research on effective schools that the high school principal should be aware of:

1. Principals should help plan for, prepare, justify, and defend the school budget,
2. They should be aware of and understand the school district budget and its specific implications for their particular school,
3. They should be able to accurately interpret budget priorities and budget constraints to the teaching staff and to the community at large,
4. They should at the building level utilize cost-effective practices and institute cost control procedures, and
5. They should be able to manage the school within the resources allocated to them (20, 46, 50).

**Community Support.** The impact of "the community" on the school has expanded to include issues and policies of interest not only locally, but also of interest to state and national concern. The increasing demand upon principals to be effective in the area of public relations with regard to community issues and concerns has made them more available to the public than ever. Principals of effective schools are involved in a variety of civic activities and are constantly generating public support for the school programs and education in general. Community acceptance is crucial to this support and to the support of the instructional program as well. This calls for an understanding by the principal of the value structure in the community and the expectations demanded by the public from the school.

Effective principals are adept at creating a positive relationship among the school, parents, and the community by meeting with parents and citizens for the specific purpose of promoting the school or for the purpose of discussing school programs. They are constantly creating concrete programs that include opportunities to involve parents as significant participants in school activities. They also plan for and utilize assessment of public opinion in the development of a public relations plan for their school (24).

## Instructional Leadership

The highest priority of the effective high school principal must be to have a commitment to instructional leadership. This area is where principals in high achieving schools perform as models and demonstrate instructional leadership behavior significantly more often than do other principals (27). As the supervisor of instruction, a principal should focus on achieving proficiency in four basic areas: curriculum, instruction, supervision, and evaluation. In the *curriculum* area, the effective principal focuses on the articulation of what students are expected to learn and what teachers are to teach in relation to the stated goals of the school and the district policies. *Instruction* involves the principal focusing in on helping teachers enhance their existing strengths and developing more effective teaching practices and strategies in their areas of weakness. *Supervision* entails creation and constant monitoring of a supportive environment in which superior achievement is expected of students, teachers and noninstructional staff as well. The last basic area is *evaluation* where the principal assesses how well students are learning and teachers are teaching. This assessment helps to determine if a program is successful and if so to what extent, or helps determine if a change in program is called for...and why.

**Curriculum.** In high achieving secondary schools, the principal is adept at leading the staff and the community to a consensus with regards to what students in that particular school are expected to learn. This includes the mastery of certain identified skills, and the values, habits and attitudes the community believes students should acquire along the way. In leading the faculty in the implementation of such a curriculum, effective principals also allocate proper funding and materials in ways that maximize the teaching effectiveness (42:31-34).

The principal further has the task of making sure that the curriculum is structured around goals and objectives that best respond to the needs and abilities of the students involved while at the same time presents a continuum of learning. This is a shared responsibility involving administration, staff, and community, but guided and directed by the principal. To be proficient in the development and implementation of such a curriculum, the effective principal:

1. Supports the curriculum by seeking appropriate resources of time, money, and materials to carry out the goals and objectives;
2. Is familiar with a variety of curriculum materials and how they relate to the specific goals and objectives of the school programs;
3. Is knowledgeable about the values and goals of the community and what the community expects the curriculum to achieve;
4. Constantly monitors the curriculum to be sure that the appropriate content and sequences are being followed (31: 3-8; 32: 42-46; 37; 41).

**Instruction.** Principals in effective schools have been found to foster and nurture a productive, caring atmosphere in which students and teachers alike believe that all students can learn and can experience success (5; 14: 28-32). This requires the principal to know how to help teachers plan and implement successful teaching strategies that will match the curriculum with the learning needs of the students. This also requires a constant monitoring of student academic progress, appropriateness of the assigned tasks and the amount of time-on-task that is spent in academic learning.

Effective principals provide faculty with not only specific details about student achievement, but also help faculty ensure that this achievement matches student potential. They apply appropriate principles of teaching and learning when they help teachers refine teaching skills or acquire new ones. As the instructional leader of the school, the effective principal takes the responsibility for leading the way in the creation of a stimulating learning environment and sees that it is carried out. Principals must regularly assess the teaching performance and strategies employed in the school to be sure that they are appropriate and varied, and they regularly apply effective observation and conferencing skills when working with faculty as a normal part of the job (26; 47).

**Supervision.** In the area of supervision of performance, the effective high school principal strives to develop the human resources so that both the student and adult populations of the school can achieve their full potential. For this to take place, an atmosphere of trust must be established, a willingness by all concerned to invest in the commitment to a quality education. Effective administrators at the high school level are able to identify and utilize abilities of individuals to support and complement their own abilities in performing this task (32: 42-46).

High performing principals regularly monitor teacher performance and are able to provide concrete technical assistance to teachers in the form of inservice programs and coaching. They do this along with a visible commitment to programs for instructional improvement and emotional support, and they are able to provide incentives for their teachers (15: 1-8). The most effective principals maintain high expectations for student achievement and staff effectiveness, build consensus concerning the mission of the school, and constantly insist on superior work by their staff and superior attainment by the students. These principals go beyond what is normally expected of them and go out of their way to help teachers become more effective. They provide specific detailed explanations about the performance of their teachers as well as insights as to why teachers performed as they did (27). They also take time to discover what is going on in the classrooms. It is an information gathering process through formal observations and through informal means such as walking hallways, ducking in and out of classrooms at odd times, attending grade-level and department meetings, or holding spontaneous conversations with individual teachers and students (42: 31-34).

The more effective principals also spend time working on alterable variables such as:

1. *Time*–seeking ways and fostering more uninterrupted time for instruction and less time for instructions;
2. *Class size and its composition*–assigning students to classrooms using research based indicators for the desired pupil composition and size to achieve maximum learning; and
3. *Organizing*–grouping of teaching, programs, and/or students in a variety of ways to enhance the positive learning experience (37).

The key to improved supervision of performance, however, revolves around the principal's ability to be sensitive to the individual student and staff members needs while holding strong to a level of high expectations for student achievement and staff effectiveness.

**Evaluation.** The effective high school principal is one who systematically monitors the daily operation of the school toward determining whether or not the established goals and objectives are being met. This means that the principal needs to be aware of available evaluation instruments and tools, and with them, gather data that will help in the determination of which programs should be continued as is and which programs should be changed, modified or perhaps eliminated.

The evaluation of student performance and teacher effectiveness is very close to being the same in that the principal works toward identifying weaknesses and then develops appropriate plans for assistance or remediation efforts in both cases. The factors involved, however, are more than just scholastic achievement. They include but are not limited to such things as: attainment and dropout data, teacher satisfaction, dissatisfaction and turnover, student discipline and behavior, community commitment and support, and other such appropriate sources of influence on the school setting (16: 33-38).

Effective principals generally view teaching, school practices, and evaluation processes as open to scrutiny, discussion, analysis, and possible refinement by teachers and administrators for purposes of better serving education. Their job is to identify through evaluation and then systematically link the everyday activities to the critical factors that support excellent instruction within all classrooms in the school. This requires mobilizing and utilizing the abilities of the entire school staff in carrying out the instructional leadership function. In practice, the effective principals are those whose management style identifies, evaluates, protects and enables others to help provide leadership (46).

## School Climate

The research on effective schools indicates that the climate of the school is a critical factor to the overall success or failure of a school as a place of learning (40). This learning environment is the result of interaction between the structural organization or framework of the school and the roles, norms, and values of the human resources within. Sweep (49) pointed out that school climate involves more than just the affective sphere of the organization. It also includes such areas as a) *cohesiveness*—the extent that the staff is able to work together to solve school problems; b) *expectations*—how well high standards and expectations of both staff and students are communicated; *esprit*—the extent to which there is a common feeling of satisfaction and loyalty among the staff; d) *goal orientation*—the extent to which there is a common sense of mission or direction shared by the faculty; and e) *leadership*—the extent of successfully getting all involved in working together toward the same goals.

Effective principals in secondary schools anticipate problems and crises by being visible and in charge during times and in places where there is potential disorder. They are a definite presence within the school, setting a tone of respect for teachersand students alike (13: 32-37; 39).

**Leadership Behavior.** The contribution by the effective principal in the development of a positive school environment takes place through a variety of actions that end up having a cumulative impact. Principals of effective high schools have a comprehensive understanding of their school and a clear vision of how the school operates. This vision of the school becomes the guide for the desired state that the school strives to achieve (3, 19, 25, 29).

The principal of a successful high school is an initiator, one who displays creativity and vision in decision-making, one who is able to delegate responsibility as appropriate, analyze information relative to school problems, and one who can put available financial, material, and human resources to the most beneficial use ( 2: 641-645; 21: 305-309). This style encourages faculty and parents to help develop useful new experiences for students and the effective principal is quick to give credit for such contributions when it is due.

Effective principals feel deeply about their school and the direction it is going, but also have the ability to see beyond it. As a normal course of action, they are active in local, state, regional, and national professional associations as well as in community affairs. They are recognized as leaders, as people to turn to when something needs to be accomplished.

**Communication.** The image effective high school principals convey, both verbally and non-verbally, tends to shape how other people perceive and view the school. This includes not only the students and the faculty, but the community as a whole and because of this, it is important that the image portrayed is an effective and useful one.

Successful principals are able to clearly present their own ideas and the ideas of others in an open, genuine manner. They are able to participate in the exchange of ideas in an open, informative, non-evaluative way; utilizing all available forms of communication in order to get a message across (8).

High school administrators constantly interact with a wide variety of people in many diverse situations both inside and outside of the school. The effective principal takes advantage of each setting to highlight the achievement of students, relay and explain the mission of the school, be an active listener, and see that any false rumors are stopped before they can get out of hand and cause a real problem. Inside the school, the actions of the principal are geared to communicate to students that school is a pleasant place to be, that it will help them achieve, and most of all that it is a serious work place (13:32-37).

Effective principals also communicate that discipline and order are going to take place because these qualities enhance the school atmosphere for learning by:

1. Setting the tone of the school as an organized, purposeful, relatively quiet, and pleasant place to work in;
2. Creating a system for administering discipline in the school that is consistent, fair, and understood by all concerned;
3. Making sure that students and teachers have clear guidelines and understand the school rules and policies concerning areas such as grading, absenteeism, homework, and tardiness; and
4. Encouraging the faculty to utilize positive rather than negative reinforcement with students (4; 31: 3-8; 33; 34).

**Group Processes.** In the operations of the effective high school, the principal is considered the key to success, but the principal is not the entire school.

The school is made up of many people other than the principal, some who have skills beyond those of the principal. To be an effective administrator, the high school principal must excercise the ability to motivate others, to gain their commitment and energies toward accomplishing the mission and goals of the school. Such principals understand the dynamics of group processes and how to apply them effectively.

Principals of effective high schools are not only sensitive to the opinions and ideas of others but also listen actively to faculty ideas and actually create opportunities for expression of these ideas, provide resources and supportive atmosphere for such collaborative planning, and stimulate others to work together

(8). Research by Schneider (45: 25-32) and Lortie (30: 568-575) found that when teachers perceived that they had a high involvement or potential for involvement in making decisions that affected the school, they had a significantly higher level of job satisfaction and performance and were more likely to expend extra effort to complete a job assignment.

Involving others in goal setting, problem solving, or decision-making with formal procedures or structures provided routinely for groups such as staff planning committees, principal's cabinets, or divisional organizations of teachers, allows effective administrators to make full use of their management skills and helps provide a clear understanding and common direction for all (28). Group activities should be organized by the principal in order to develop a logical plan for what is to be accomplished, for meetings, and for other points of communication.

Effective principals utilizing group processes achieve consensus on issues and gain commitment from school staff by involving those individuals who will be affected by a decision in an area and who are knowledgeable about the area (22).

## Teacher Expectations

As reported earlier, principals of successful high schools utilize a collaborative approach or model of shared leadership where teachers and their expectations play a major role. Teachers in effective schools more and more are taking an active role and participate in the decisions that affect their professional lives. They are usually as well-educated as the administrators they work with, and many know more about their own work than does the principal who is evaluating them.

Teacher expectations both for themselves and for students cover many aspects of school behavior from academic performance to social maturity, creativty, and even independent thinking. Some teachers expect to be effective with all students; others believe that success for all students is impossible (12). Too often teachers' expectations of students are based on the opinions of others, such as labels given students by other teachers in the faculty room, comments or concerns voiced by parents at conferences, standardized test scores, or even students talking among themselves. These expectations are communicated to students by teachers and administrators in a variety of ways, but the overall message that emerges is that some students are high achievers and some are low achievers at best.

**Framework for Student Achievement.** To help build a positive framework in which students are expected to be successful and at the same time alleviate the influence of expectations developed by external sources, effective principals encourage their teachers:

- Not to make judgments about student abilities based on reports from previous years, grades, or information that is unsubstantiated.
- To teach all of their students in each class. Teachers helping all students to succeed communicates an expectation that all students can learn.
- To assess their view of the ability of each student over a long period of time rather than a short period of time.
- To use methods other than student ability when they group students for activities. Ability groups have a tendency to set their own ex-pectations; grouping by such items as age, height, month of birth, or alphabetically, for example, can help give wider variety to groups (4, 6, 7).

The principal also can serve as a source of influence on routine teacher activities by establishing for faculty and students alike standards and incentives to guide student learning; by transmitting to the faculty and through the faculty to the students that the school has high performance expectations; by developing and utilizing high quality planned systems for recognition of academic achievement (4; 31: 3-8; 33). These recognitions could include such specifics as honor roles, honor societies, award ceremonies, certificates of achievement, academic medals, plaques for achievement, academic trophies, recognition through publication, pictures, students of the week, etc.

**Plans, Goals, Objectives, and Mission.** Successful principals set plans and programs to accomplish goals. They schedule activities and the use of human and material resources to accomplish these goals by focusing on time, deadlines, flow of the activities and resources and on a ways to better finish the job at hand. They help teachers plan and provide a program that reflects the school's mission and at the same time attempt to ensure that students are enjoying the learning process. Through planning the measurable instructional objectives for each level of student in a professional and cooperative manner, all members of the staff become more knowledgeable and better understand the overall goals and perspectives of the program, and are aware of the responsibilities it imposes on them (2: 641-645; 4).

Student progress toward the achievement of those objectives is regularly reported to both the students and their parents by formal and informal means. It is expected of students to achieve to their potential and they are held accountable for completing their assignments. It is emphasized that students have a responsibility for their own progress while they are in school (8; 41).

**Strong Focus on Academics.** In successful high schools, there is a strong focus on academics as is indicated by the high percentage of time spent on learning and the minimum amount of time wasted during the school day on noninstructional tasks. Principals help teachers carry on the business of education and learning by reducing the number of interruptions and outside distractions such as listening to announcements on the P. A. system, collecting money for various causes, excessive paperwork, etc. (39; 41; 43).

The principal and the faculty jointly agree and believe that all students are capable and can learn, and students are expected to be successful. As an integral part of this expectation, administrators and teachers plan and implement instructional strategies that are matched both to the curriculum and to the individual needs of the students. Instruction is based on specific objectives with levels of difficulty and complexity that are appropriate for the students involved. Student needs are diagnosed through a valid program of assessment, with these assessments forming the basis for the instruction to follow.

Establishment of the instructional program as the first priority is in constant evidence in effective high schools as the personal and collaborative efforts are all directed toward supporting that priority (23: 275-307).

**Monitor and Adjust.** Principals of effective high schools with the help of their faculties implement a system of monitoring and assessing pupil performance that is tied to the instructional objectives (48: 346-352). The faculty abandon practices that do not work and if achievement data or other feedback indicates a need for change, teachers adjust for the betterment of the program.

Teachers are encouraged by effective principals to actively monitor the progress of their students and to adjust their teaching as needed. This is where the effective use of principles of motivation and reinforcement by the administrator are made. Student progress is measured regularly by tests and other forms of assessment and where indicated, the results may lead to modifications in the program and/or the techniques or strategies utilized in teaching. In this manner, the selection of instructional materials such as textbooks, supplementary materials, software for computers, and other instructional aids can be more closely matched to the specific learning objectives outlined.

The principal in an effective high school is well aware and well versed in up-to-date instructional practices and is able to guide teachers in the successful application of these practices. Classroom observation is viewed as a regular and welcome occurrence and the principal is able to help teachers identify the differences between effective and ineffective approaches. Together, the principal and the teaching staff explore possible alternatives for the improvement of instruction (27; 32: 42-46).

## Monitoring System

Successful secondary schools monitor student achievement in a manner that makes it possible to report each student's progress in relation to the established expectations for the program involved. Researchers on effective schools agree that the monitoring of student progress is important not only for what it reveals about the progress of the individual student, but also for what it indicates about the overall school program (4; 8; 14: 28-32).

Formal and informal observations by the principal provide the basis for selecting intervention strategies for individual teachers in effective schools. Collecting information about individuals working to implement a change, being sensitive to the feelings and concerns of others, and tracking the progress of a new program or practice are all forms of this monitoring (23: 275-307).

**Systematic Process.** Monitoring also serves as a process by which principals and teachers can evaluate whether or not the expectations they have set forth are being met. Principals of effective high schools actively develop their own agendas for this process by establishing it as a priority and allocating the time and the resources of their position to achieve success (41). An example of the monitoring process would include such steps as: 1) The setting of high standards and expectations, 2) Identifying and agreeing upon levels of acceptable performance, 3) Deciding what alternative actions and/or remediation will be given for below standard performance, 4) Constant and consistent evaluation of progress, and 5) Assessment of accomplishments to see if they are valid in terms of intended outcomes.

**Focus on Improvement.** Principals in effective secondary schools focus the monitoring process on improvement. They see students and teachers as the main ingredients in determining whether or not objectives have been met (5). Monitoring practices in effective high schools are utilized to facilitate progress and those involved are familiar with not only the purposes of monitoring but also the instruments and procedures used. Constant monitoring is commonplace in these schools and is acceptable and even expected.

Principals in successful high schools support the monitoring system by providing a climate for the personal and professional growth of their faculty. They assess the potential in the staff and spend time identifying strengths to help develop and provide better learning experiences. They make good use of constructive criticism in order to help faculty do a better job of teaching. They utilize inservice training and frequent communications with staff as ways to direct attention to their expectations. They also help develop and use sanctions, supports, incentives, and rewards for efforts of others directed toward staff improvement (32: 42-46; 33; 38).

**Variety of Instrumentation.** In the process of staff and student assessment, successful high schools make use of a variety of methods and instrumentation. Among faculty, principals fulfill the monitoring function through the use of faculty meetings, staff development and inservice activities, along with formal observations and informal observations and consultations with individual teachers. They use opportunities as they arise to recognize and encourage effective teaching practices (10).

Effective principals encourage their students to pursue courses that challenge them academically and they ask their teachers to measure student performance through teacher designed tests for purposes of checking the mastery of learning objectives; competency tests to determine the extent of skill level and knowledge acquired; simulation and activity experiences to observe student actions in practice, and standardized tests to compare progress by the group in areas tested with a larger group (41).

**Local Objectives.** Principals of effective schools select and utilize testing programs that reflect the educational objectives that have been decided upon at the local level. They test what their teachers have taught to students and obtain data and results from this testing that helps in the planning and improvement of the programs offered. These schools also regularly report the test results to the public in language that is easily understood. This leads to schools that are more responsive to the local community and student needs, and helps foster a sense of collegiality between the school and its various publics.

## Summary

High school principals should and usually are among the most visible of public servants in a community and community members expect the principal to be the most accessible representative of the school's administrative team. Researchers such as Crowson and Porter-Gehrie (9: 45-69) have found that the factor of time as a resource for these principals is a most valuable commodity, one that must be shared with a variety of people. The broad and highly demanding job complexities of the role of the principal calls for a balance in this time resource between being an educational leader, a line supervisor, a facilitator, a problem solver and decision maker, a program monitor, and a report writer. It is in reality a multifaceted mission that requires support from the central office, training, collegial interaction, and time for reflection if it is to be carried out successfully.

Effective high school principals are those who can manage to juggle all these responsibilities. They are never satisfied that their school is as good as it can be. They are continually looking for improvement, always looking for ways to better meet the changing needs of their students, their faculties, and the communities in which they are located. These principals are not captives of their environments, but rather they have learned to share the functions of their leadership role and can create an environment conducive to forward looking innovation in their schools.

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## Seven

# The Effective Adult School Principal

### by
### Edwin Hamilton

Support for public school adult education has traditionally been the responsibility of state and local government, but the federal role in a variety of adult education programs began to grow in the 1960s. The major federal legislation that focused on adult learning was the Adult Education Act of 1966. This act established a national program of adult basic education (ABE) for the purpose of educating adults to speak, to read and write the English language at sufficient levels as a prerequisite for obtaining employment or further training. In addition to providing for costs of instruction and program administration, the act mandated that a portion of the total appropriation be utilized for staff training and special projects of a research and development nature (4). Public school adult education programs have been the greatest recipients of these federal funds. However, there is a growing concern among adult educators regarding the adequacy of the level of federal funding. The federal appropriation for ABE has been frozen at $100 million since 1980. Some activist adult education reformers contend that this level of funding is only a fraction of the funds that are needed to impact on national illiteracy rates (17; 23). The Adult Education Act has been amended several times, mainly to increase its scope and flexibility for fostering improvement. Much of this concern for improvement has been focused on school administration. The federal concern for public school improvement in general has had questionable effects on the administration of public school adult education. What Burton Clark (3) discovered a generation ago regarding the marginality of public school adult education as perceived by the local parent school district has not changed substantially at the national level. In 1976, public school adult education received only about one percent of the total budget for elementary and secondary school education (47: 209-227).

The federal, state and local concerns for public school adult education improvement and reform have focused many of their efforts on the central administration of the local school systems. Whether it was fostering excellence, improving recruitment strategies for those "who were left out" (40), or training educational staff, central office administrators were thought to be the most effective agents for improvement. In many cases this leadership responsibility was given to state level directors of adult education. The assumption was that central office administrators could effectively direct the functioning of individual schools to bring about educational improvement. However, the concept of the central office administrator as the key player in educational reform has been seriously challenged by documented program experience and research. Increasingly, the local site administrator is seen as the one to bring together the critical mass necessary to make changes and improvement. One finding that consistently emerges in the research literature on effective adult education programs is the importance of the leadership and abilities of the adult school principal in the administration of relevant and successful programs (11; 19; 21; 43).

The proliferation of adult education outside of public school systems has added a new set of roles and responsibilities to the already complex and ambiguous role of the effective adult school principal. In addition to the ongoing organizational maintenance, funding demands, and program accountability principals face in the day-to-day management of their schools, pressures from the community-at-large bring with them special sets of program needs and constituent demands that affect the role that the effective adult school principal plays. Many factors, both controlled and uncontrolled by the principal, affect program outcomes in terms of effectiveness of management and leadership. The purpose of this chapter is to describe and discuss established concepts and predictable factors and issues related to the performance and administrative role of the effective adult school principal.

## Public School Adult Education Administration

In order to understand the role of the adult school principal in fostering school and program excellence, it is important to describe the context or the administrative environment and to emphasize the complexity of the role. First, many labels are used in the field of practice to label or identify the local school administrator. The term "adult school principal" is synonymous with evening school principal, community school principal, director, manager, and coordinator.

**State Level.** Divisions of adult education are found in all state departments of education. Usually a state director is the chief administrator whose primary responsibility is to administer state funded programs to local school districts. One key indication of priority in which a state regards adult education is the budget allocation that is appropriated for adult education at the local level. Patterns of state aid are variable and tend to follow the proportionate level of state aid that is available for education generally. A state director with a generous allocation of state aide can greatly influence the magnitude and direction of the local adult school program. Traditionally, in some states the administrative leadership of the state-administered program is complemented by the services of an advisory committee of citizens (30:345-355).

**School District Level.** At the local level, the school district's hierarchial organizational structure usually reflects the control and supervision of adult school programs. At the top is the school superintendent. Many years ago Kempfer (19: 293), in analyzing the status of adult programs, concluded that the superintendent is the pivotal person in the establishment of programs. Kempfer assumed that if the superintendent "believes deeply in lifelong learning and looks on the school as an institution serving community needs, the adult education program thrives. If the superintendent thinks of adult education as an appendage to the essential work of the school, it is likely to fail." Several factors influence the superintendent's approach to adult education and the kind of structure that emerges. The size of the budget allocated to adult education in comparison to the total school budget will determine the willingness of the superintendent to devote attention and time to the program. Perhaps more significant than the budget is the selection criteria and scrutiny devoted to the appointment of the local adult school principals (11:76-101).

**Principals.** The adult school principal usually reports to a designated assistant superintendent. This central office administrator's primary function is to some aspect of administration of elementary and secondary education, but has oversight of adult education as a minor concern. Over the past decade, many urban districts have reorganized to emphasize adult education as a substantive component of the school system. In these cases, the assistant superintendent's primary duty is the administration of adult and continuing education, sometimes referred to as community education. The assistant superintendent is a key player and usually reflects the perceived mission of the school district and the philosophy of the superintendent. Whether adult school principals are accorded equal status with principals of elementary and secondary schools is an important administrative mandate that is determined, in spite of board policy and regulations, by the leadership of the superintendent and assistant superintendent.

The adult school principal plays a more complex role in the administration of school programs compared to the role played by elementary and secondary school principals. Adult school principals, depending on the organizational structure of the school district, may have many of the same responsibilities that are normally ascribed to superintendents and assistant superintendents. These duties and responsibilities include setting up, modifying, and expanding the curriculum, interviewing and hiring staff (in accordance with certification standards), evaluating and assessing the adequacy of programs and instruction, maintaining financial records and budget administration, lobbying for budget increases and by seeking external funding sources, making provision for supplies and equipment, facilities management, providing on-going in-service and staff development training, initiating public relations and community involvement actions, and a host of other related administrative functions. One of the central features that distinguishes adult school principals from their counterparts is the voluntary nature of the adult learner. School children attend school because of the legal compulsion, whereas adults are attracted to attend the school if the curriculum is perceived as meeting their educational needs. This single feature has major implications for program development that will be discussed in more detail further on in this chapter.

**Teachers.** Staffing is one of the most important functions of the adult school principal. It is through the teachers, counselors, and other ancillary personnel that most of the goals of the school are accomplished. Most adult high schools require certified teachers because of local and state regulations. Increasingly, school districts are incorporating specific certification requirements for teachers of adults. The primary source for most adult education teachers is the local school district. These teachers are employed on a part-time basis to teach evening and/or weekend classes. There has been a long controversy over the use of elementary and secondary school teachers who have no professional preparation in adult education as an academic discipline. In school systems where no specific certification standards for adults exists, the bulk of teachers selected for employment with the adult education program must be very carefully screened. The adult school principal has the major responsibility to establish selection criteria that will assist in the hiring of appropriate personnel. Moreover, the principal must develop an on-going in-service program that is grounded in the philosophy and goals of adult education. In-service education for teachers of adults should be considered as a type of professional continuing education. The specific program should be geared to local teacher needs, but should fundamentally include such topics as adult learning, methods and techniques of teaching adults, physiological and psychological aspects of aging, counseling of adults, assessing instructional needs, and the subject matter specialities of the teachers. It is also appropriate to include topics such as group processes, leadership training, community relations, etc. The principal will not be able to anticipate all teacher needs and concerns. The principal should provide a mechanism for identifying and incorporating current issues in the in-service program.

**Curricula.** There is no typical adult school curriculum. The nature and scope of instructional activities varies from one city to another. Depending upon the size of the local school district and the priority of adult education, public schools offer a wide variety of courses in response to local needs and wants. The following is a sampling of traditional subjects commonly offered:

1. Adult Basic Education: Reading, writing, computational skills designed to raise literacy levels.
2. General Academic Education: Common high school subjects such as math, literature, etc. GED preparation.
3. Americanization: Classes emphasizing naturalization and integration of foreigners.
4. English as a Second Language: Classes for non-English speaking students geared to citizenship and employment.

5. Civic and Public Affairs: Group sessions that focus on local, national and international issues.
6. Fine Arts: Music, drama, painting, art appreciation, singing, dancing, etc.
7. Practical Arts: Photography, tailoring, leather, upholstery, weaving, block printing, etc.
8. Business Education: Typing, shorthand, word processers, bookkeeping, computer technology, etc.
9. Vocational Education: Occupational training in a variety of service and domestic trades.
10. Parent and Family Life: Classes to deal with the social and psychological aspects of parenthood.
11. Personal Development: Personality improvement coping with stress, understanding self and others, etc.
12. Leisure Education: Sports, recreation, games, and other related worthy use of leisure.

This listing is by no means complete. Periodic surveys reveal an endless variety of courses and activities that are found in public school adult education programs (10: 231-243).

**Methods of Delivery.** There has been a great upsurge in the type of methods and formats that adult learners seem to desire and respond favorably by their attendance. Again, there is a great diversity of methods, techniques, and formats that are being utilized to deliver programming to adult audiences. One interesting example reported by Lenox and Merriam (26: 31) is the development of a Weekend Adult High School that grew out of a need to extend educational opportunities to adults in South Plainfield, New Jersey. A non-traditional approach was utilized in planning and implementing the curriculum. A salient feature involves the number of options available to students enrolling in the program. Special attention is given to the awarding of credit for experiential learning. The curriculum consists of secondary academic courses that are offered over a 16 week period on Saturdays or evenings. Performance objectives are established for each course and students have the option of taking the final exam whenever it is felt that a mastery of the course is achieved. Adult counseling is a major feature of the program and is designed to assist students in classifying goals and skills needed for success. Counseling plays a major role in student retention. "At the conclusion of the first semester, 48 students had earned their adult high diploma and the average age of graduates was 34.1 years of age." The Weekend Adult High School is funded by a combination of federal, state and local monies.

There appears to be a number of popular methods that are used primarily in adult education. The most frequently utilized methods include correspondence study, on-the-job training, short-term seminars, conferences, institutes, and workshops. These are employed generally in evenings, weekends, and summer sessions. Contrary to popular opinion, the heavy use of electronic media such as television, radio, and audio cassettes have not proven to be popular with adult learners. "Not only do very few learners actually employ media for learning, only a small fraction of would-be learners indicate a preference for such methods" (4: 128). Of the many sponsors of non-public adult education, traditionally the most extensive involvement of adult instruction is clearly found in the public secondary schools (18).

**Challenges of Administration.** In a broad sense, the major challenges of administration of public school adult education revolves around three general goals that must be clearly understood by the adult school principal. First, is to continuously strive to make more effective use of program resources, both human and material. Public school systems represent enormous reservoirs of resources, yet much of it is under utilized. The main benefit lies in expanding educational opportunities for greater numbers of adult learners. An analysis of student characteristics in a given community often reveals that citizens in the greatest need for adult education are not sufficiently represented in enrollment statistics. Increasingly principals are focusing on program access and the need to develop outreach activities that are effective.

A second goal of administration is to formulate and communicate a philosophy and well-defined mission for the public adult school program. This is particularly important because of the dichotomy that often exists between the goals of the parent organization (the local public school system) and the adult education program. Without an understanding of the mission, adult education programs frequently engage in activities that are inappropriate, or may duplicate competing programs, or not make the best use of its resources. Mission is directly related to program scope that is determined by three variables: Specific objectives, capability, and resource availablity. The program philosophy and mission serves as a guide for the adult school principal who otherwise may make unsound decisions about contemplated new directions.

The third goal of administration is to approach the assessment of existing programs, and plans to develop new programs strictly and fundamentally on the known educational needs of clientele. The first priority in this regard is to identify significant problems through planning. Strother and Klus (43: 3) group the range of adult education needs and problems of people into four major areas:

"1. The problems of daily life—management of personal finances, conservation of energy, child care, etc.

2. The responsibilities of membership society—social roles of family impacting on neighborhood and larger community, etc.

3. Increasing human potential—enrichment of leisure time, special issues of target groups, universal problems, etc.

4. Gainful employment—preparation for new careers, reentry to labor market, upgrading job skills, etc."

This approach to planning might be stated as a three-stage development: 1) What is the problem? 2) What is the objective, in terms of audience, content, and result? 3) What methods will be the most efficient and effective in achieving the objective?

In making a final decision relative to programming, the adult school principal must also ask and answer three questions: 1) Is the problem or need within the mission boundary of the program? 2) Is the program capable of resolving the problem through educational intervention? 3) Does the program have adequate resources to support the effort required?

In order to accomplish the broad goals of administration, adult school principals are required to perform three important administrative functions. Traditionally, elementary and secondary school principals are expected to perform the dual functions of instructional leadership and school management. (7). In addition to these dual functions, adult school principals have a third and most significant administrative function—program development.

**School Management.** In every public school district there is a plethora of regulations that the principal is expected to follow. School management is a process or set of operational functions that must be accomplished if the school is to reach its goals. These are essentially managerial functions that involve planning, organizing, staffing, directing, coordinating, and controlling. Management is the leadership process of enabling and/or assisting schools to achieve their goals. The job of adult school management is to fit together staff, money, and materials to accomplish objectives and goals. This "fitting together," so that the parts work effectively and efficiently is the ultimate management task.

Much of the adult school principals' time is devoted to school management. This frequently involves responding to mandates from the central office. Some of the typical duties involved in school management follow:

1. Maintaining adequate school records of all types.
2. Preparing periodic reports to the central office and other agencies.
3. Budget development and budget control.

4. Personnel administration.
5. Student problems.
6. Scheduling and maintaining a schedule.
7. Facilities administration.
8. Administering supplies and equipment.
9. Student accounting.
10. Monitoring programs directed by the central office.

Usually the more complex the educational bureaucracy the more complex and time consuming the managerial process. The effective adult school principal must understand the application of management style to accomplish the management functions. Style refers to the means or way in which the principal performs the managerial functions. This may vary greatly according to individual principals. Table I (adapted from J. Sterling Livingston, *Patterns of Management*. Harvard Business School , 1970) provides a description of the basic management patterns that may be helpful in distinguishing among the different emerging leadership style approaches.

Leadership style research has contributed to a better understanding of the application of theory to practice. The prominent theories that have received much attention are Theory X and Y (32), Contingency Model (9), and Theory Z (39). Theory X postulates that the average human being dislikes work and therefore must be controlled, forced, and even threatened to achieve the organization's goals. Theory Y postulates the opposite, that work is perceived as a natural behavior and can be satisfying to the individual in achieving the goals of an organization. The Contingency Model stresses that no single style is best, and that the leaders' performance depends upon a proper match between style and situational variables. In this regard, Likert (28) found that most groups of workers were more productive with a "considerate" and person-centered leader. Theory Z promotes the use of quality circles as a group process to bring labor and management together for problem-solving. An understanding of manage-

Table 1
**Basic Management Patterns**

| Reference | Autocratic (High Pressure) | Eclectic (Low Pressure) | Democratic (No Pressure) |
|---|---|---|---|
| Concept | Management Authority Direction—Control | Aroused will to achieve; Planned performance | Free Will—Self-Interest; Self-Directing—Control |
| Personal Character-istics | Dominant—Self-Reliant | Objective—Creative | Tolerant—Trusting |
| Relationships | Controlling—Forcing | Developmental—Helping | Permissive—Non-Directing |
| Methods | Directive (top down); Makes decisions; Directs (show and tell); Sets standards; Controls tightly; Rewards and punishes | Inter-active; Initiates analysis; Approves plans (coaches); Obtains commitment; Controls flexibility; Rewards and and challenges | Consultative (bottom up); Defines objectives; Gives guidance; Controls loosely; Rewards and recognizes |
| Results | | | |
| Short run | Good to excellent | Generally excellent | Generally unimpressive |
| Long run | Generally unimpressive | Excellent | Poor to excellent |
| Problems | Over-burdened managers; Passive subordinates; High turnover | Keeping tasks challenging | Few self-starters; Many mediocre performers |

ment patterns and the application of leadership styles can serve as a continuous stimulus for introspection and self-evaluation of effective principals. Because of the myriad of administrative tasks that are required in adult education, principals who demonstrate leadership style flexibility and perceive people-oriented tasks as the most important, tend to be much more effective in their performances.

**Instructional Leadership.** The instructional leadership role has many components. One involves the marshalling of resources, human and material, for the effective performance of teachers, counselors, and other ancillary personnel. The ultimate beneficiaries, of course, are adult learners. The effective principal must first understand the importance of establishing an effective administrative climate for instructional leadership (5: 12-13). This is an atmosphere that enables a free flow of interchange among the staff and will promote professional growth and collegiality. The approachability of the principal, the manner in which the staff is treated, and the materials and facilities the staff are provided either serves to confirm or to reject their importance in the school. If the teachers believe their contributions are important, most will gladly live up to most expectations and will eagerly participate in in-service workshops. The administrative climate must be relaxed and appealing. The effective principal knows that when the teaching staff is highly satisfied, adult learners are more likely to receive the quality instruction that they need to fulfill their educational goals.

Motivation is a concept that is very important in examining the instructional leadership role of the adult school principal. There are many definitions for motivation. Most psychologists concerned with learning and education use the word motivation to describe those processes that can a) arouse and instigate behavior, b) give direction or purpose to behavior, c) continue to allow behavior to persist, and d) lead to choosing or preferring a particular behavior (46). The conscientious principal must understand the application of motivational techniques in all facets of instructional leadership. This is often vague and elusive because of the impreciseness of measuring how motivation works. The best evidence that motivation works is for the principal to observe the quality of the performance outcome of individual staff members. It is a well known fact that people work longer, harder, and with more vigor and intensity when they are motivated than when they are not.

An understanding of adult learning concepts provides a significant framework for facilitating instructional leadership. The adult school principal should be cognizant of two important adult learning concepts that can serve as a reference point for designing in-service education programs, staff orientation, meetings and day-to-day supervision of instructional activities. The two adult learning concepts are:

"*Andragogy* is premised on four critical assumptions about the characteristics of adult learners that are different from assumptions about child learning. These assumptions are that, as a person matures:

> 1. The self-concept moves from one of being a dependent personality toward one of being a self-directing human being;
> 2. individuals accumulate a growing reservoir of experience that becomes an increasing resource for learning;
> 3. the readiness to learn becomes oriented increasingly to the development task of their social roles; and
> 4. the time perspective changes from one of postponed application of knowledge to immediacy of application, accordingly their orientation toward learning shifts from one of subject-centeredness to one of problem-centeredness" (21: 39).

"*Synergogy* provides a systematic framework for approaching the problems encountered in education, training, and development. Its four fundamental differences from other approaches involve: 1) replacing authority figures with learning designs and instruments managed by learning administrator; 2) enabling learners to become practice participants who excercise responsibility for their own learning; 3) applying to education the concept of *synergy*, in which the learning gain that results from teamwork exceeds the gain made by individual alone; and 4) using learner's colleague affiliations to provide motivation for learning. Specific sources of social motivation include each learner's desire to increase his or her personal effectiveness as a team member, to collaborate with and gain approval from one's colleagues, to participate in order to increase the liklihood of team success and to excercise personal autonomy in learning. Synergogy presents designs for organizing learning environments so as to avoid conditions that decrease motivations for learning and to provide situations that reinforce individuals' desire to learn by helping one another" (37: 9).

**Program Development.** Program development is a distinct administrative function of adult education. In broad terms, program development refers to the design, implementation, and evaluation of educational activities. The distinctiveness of program development to adult education is directly related to a cardinal principle; i.e. program planning must be based on the educational needs of its clientele. The adult school principal plays an important role in the program development function. The lack of full-time administrative staff such as a program developer requires that the principal assume full responsibility for program development. For example, decisions about what courses or programs will be offered and what instructional methods will be utilized, along with where the programs will be conducted. On the other hand, if there are full-time staff members to delegate these functions, then the principal's role becomes one of primarily managing and monitoring the program development process. Notwithstanding, the principal retains ultimate responsibility for program development and, therefore, must be knowledgeable about effective methods and techniques employed to keep abreast of the changing needs of potential adult audiences.

Essentially, program development involves effective planning. To be really effective, principals must understand the importance of involving staff and students at various stages in the planning process. There are numerous planning models in the professional literature. Traditionally, linear models (step-by-step sequential activities) have been used in public school adult education. One criticism of the linear model is that if planners omit a step in the planning process, this may cause the planning to fail because linear models provide no easy methods for returning to the previous stages in the process (38: 21-23). Regardless of any position on this issue, it is critically important for effective principals to understand the significant elements of planning for program development. There are four elements that appear to be common in most planning models. They are discussed below.

**Assessment of Needs.** Knowles (21) defines educational needs as the gap between the present level of performance and a higher level of performance that is required. Kempfer (20: 32) surveyed adult school principals many years ago and found "How to identify these needs and interests is the perennial problem faced by all directors of adult education." Given the slow rate of professionalization of adult education administrators, it is possible to assume that this deficiency plagues many adult school principals at the present time.

A needs assessment is a planned process that employs a variety of methods and techniques. It is designed to collect valid and reliable data that will yield objective insights or information on the kinds of courses and programs that are needed by potential learners. Rather than individual needs, the principal must be concerned with identifying community needs. In this case, community is defined as a specific population that an adult educator seeks to reach with respect to a particular problem or set of problems (34). For example, unemployment is basically a community problem because it impacts on the lives of many people in a given locale. Sessions with community residents using a "nominal group process" (31: 232-233) could be effective in determining specific program needs related to unemployment.

Needs assessments serve several functions. The function important to the adult school principal has to do with guiding the selection of courses, training topics, and programs. This is the stage at which administrative decisions are required. The most popular method that program developers use to determine needs is the survey or poll. Some sophisticated methods include the community study which provides an in-depth analysis of the interrelated dimensions of the community. The use of advisory committees, consultation with indigenous leaders, and interviews with the target population have all proven useful. However, needs assessment data and information are frequently misunderstood. It cannot be equated with motivation or willingness on the part of adult learners to participate. The most pressing educational need may have a low priority on an individuals' list of life's demands (36: 93-112). In using any method or technique in need determination, principals should be aware that involvement of potential adult learners, when feasible, in the decision-making process tends to validate the data about their needs. Instead of planning *for* potential learners, the better idea is to plan *with* those learners (14: 129-137).

**Setting Objectives.** Once the problems of potential participants are identified through an analysis of group needs, the next stage is to determine the purpose of the program by writing meaningful objectives and goals. Adult learners always make more progress when they move toward clearly stated goals and objectives. Specific objectives describe outcomes that are expected to be measured during or at a reasonable time after the completion of an educational program. The principal is usually in the best position to formulate specific program objectives because of his/her familiarity with needs determination data. Care is made here to distinguish program objective from instructional objective. The instructional objective specifies the activities that *teachers* are expected to carry out in accomplishing the program objective. The program objective is useful to the principal for overall planning, marketing, and subsequent evaluation.

In setting program objectives, the principal should determine the style or form that reflects the written objective. It is desirable to develop a standardized approach that specifies a number of predetermined elements that will be contained in each written program objective. The following five elements are the most frequently suggested in educational program planning:

1. The conditions under which the competency of target group learners is expected to be demonstrated (e.g., "after 10 hours of instruction").
2. A description of the target learners (e.g., "adult students enrolled in Beginning Typing class").
3. The competency to be demonstrated by a target group (e.g., "the learner will be able to accurately type 25 words per minute").
4. The minimum level of competency (e.g., "80 percent of the class will be able to achieve #3 above").
5. A measurement instrument or method of assessing the outcome of desired behavior (e.g., "as rated on a standardized or teacher-made test").

Program objectives are important in that they provide direct assistance for evaluation. It is sometimes necessary to revise program objectives to reflect more realistic results of adult learners. Adult school principals and resource personnel should make reasonable assessments of what can be measured, given the time, resources, and other constraints of the program.

**Selecting Learning Activities.** The curriculum or program in adult education consists of all the educational activities offered to adult learners. How to determine what is taught in the curriculum is the purpose of the discussion here.

Most of the curriculum development models used in adult education today are related to the research, a generation ago, of Ralph Tyler. The Tyler approach is premised on four questions:

"1. What educational purposes should a school seek to attain?

2. What educational experiences can be provided that are likely to attain these purposes?

3. How can these educational experiences be effectively organized?

4. How can we determine whether these purposes are being attained?" (44: 1-2)

The adult school principal must be involved in determining whether the selection of learning activities relates directly to the needs and objectives of the curriculum of a specific program. Once the learning experiences have been identified, the next stage consists of organizing these activities into a plan that has scope and sequence.

Houle (16: 47) has a similar approach to curriculum development which he refers to as "decision points and components of an adult education framework." The steps involved in this approach consist of the following:

"1. A possible educational activity is identified.
2. A decision is made to proceed.
3. Objectives are identified and refined.
4. A suitable format is designed.
5. The format is fitted into larger patterns of life.
6. The plan is put into effect.
7. The results are measured and appraised."

In making curriculum development decisions it is always necessary to return to a re-evaluation of the purposes of the adult school, coupled with its capability to meet the educational needs of clientele. The principal is the pivotal person in the process and must ascertain that the curriculum serves four broad purposes of adult education: survival, meaning, learning to learn, and social change (1).

**Evaluating Outcomes.** Program evaluation is particularly important to the adult school principal, who is increasingly being held accountable for the success and failure of programs. The determination of evaluation methods will depend on the philosophy of the principal. There are many approaches to evaluation. On a broad level, evaluation should be viewed as a planned systematic process that is designed to collect valid and reliable data for decision-making. Most approaches require a total description of the program including needs, objectives, methods and materials, and the context in which it operates. The principal should be intimately involved in the evaluation because of the need to make value judgments about educational programs.

The purpose here is not to provide a how-to discussion of evaluation, but rather to identify some major components that must be considered in developing a knowledge base regarding the role of the principal in formulating evaluation strategies.

Schwab (42: 501-522) offers a conceptual scheme in focusing on different elements of a curriculum. There are four program elements: participant, instructor, topic area, and the context. Each element is given equal status as a required function of the program. Some basic characteristics of these program elements are:

*Participants*—adult students who reflect varying socioeconomic and educational backgrounds. May be engaged in a variety of social roles, enrolled in the program for different reasons.

*Instructors*—have various inherent and acquired abilities that influence their capacity to be effective teachers. Their personality, experience, knowledge, teaching style, and philosophies determine interaction results.

*Topic Areas*—subject-matter and substantive aspects of what is being taught and learned. The extent to which it is useful in attaining new knowledge, skills, and attitudes. The relevancy or irrelevancy of the subject-matter is important.

*Context*—the milieu or general setting including social, psychological and physical environment of the teaching-learning transaction. It also includes the image of the program, administrative, occupational, and financial constraints.

Groteluschen (13: 75-123) provides some pertinent questions that adult education administrators should seek answers:

1. Why evaluate?
2. What is the purpose of evaluation?
3. What questions should the evaluation address?
4. What resources are available for the evaluation?
5. What evidence should be collected?
6. How is the evidence collected?
7. How is the evidence analyzed?
8. How should evaluation findings be reported?

As adult school principals go about the task of evaluation, they confront a variety of issues. The significance depends upon the extent to which evaluation is an integral part of the program development process. Many of these issues will emerge in relation to administrative mandates, public relations factors, timing, and circumstantial occurrences.

**Administrative Roles, Qualifications, and Competencies.** The role of the adult school principal has been evolving over the past three decades, and this process is expected to continue. In addition to rural and urban reorganization and big city decentralization, the following factors have been responsible for affecting the role and status of the adult school principalship:

1. Higher certification requirements.
2. Improved preparatory program for adult education administrators.

3. Pressure from professional associations to upgrade the principalship.
4. Higher salaries and twelve month employment.
5. More prepared teachers in the specialty of adult education.
6. Demands by professional staff for an equal role in decision-making.
7. New strategies for organizing instruction.
8. Increased educational offerings.
9. New learning technologies and instructional resources.
10. Changing role of community education as centers for development.
11. Recognition of the importance of adult education by superintendent and school boards in enhancing the education of youth.
12. Increased competition of non-public school adult education programs and agencies.
13. Demands of students and community leaders to participate in the program determination process.

Other factors that have broadened the scope of the adult school principals' role are: adult population increases, complexities of the American social system, dynamic needs of occupational preparation, increased leisure time, demands of women and minority groups, and the lack of effective coordination between the school and other agencies serving the community.

**Principals' Academic Qualifications.** In 1967, the National Association for Public School Adult Education provided an important recommendation regarding the professional standards for the preparation of adult education administrators:

"1. An administrator of adult education should have a master's degree or its equivalent as recognized by the state or local school system.

2. An administrator of adult education should meet the requirements of general administrators and/or supervisors in the state or region concerned.

3. An administrator of adult education should have a minimum of six (6) hours of specialized study in the field of adult education.

4. An adult education administrator's professional preparation should include study in the area of liberal arts, human relations, general education, and administration." (11: 88).

The emphasis on six hours of specialized study in adult education was reasonable during the time because of the low number of colleges and universities offering courses in adult education. However, six hours would not be adequate today due to the changes in the field of practice, and the expanded access to academic study provided by a very large number of colleges and universities situated across the United States. Also, increasingly school systems have upgraded certification requirements for teachers and administrators of adult education.

**Competencies Required of Principals.** There have been a number of research studies that investigated competencies and proficiencies required to function effectively as a professional adult educator. Two such studies and efforts of many practicing adult educators deserve attention here. The first is an effort to isolate proficiencies deemed generic to all adult educators by the administration of a self-assessment inventory. The second is an inventory to address competencies determined to be necessary for the effective administration of adult education.

**Generic Proficiencies.** The American Association of Adult and Continuing Education (AAACE) formulated a list of 40 proficiencies considered generic to all adult educators. A self-assessment inventory was developed and first used by AAACE at its national conference in Milwaukee in 1985. The inventory consists of eight functions (general areas) and specific statements of proficiencies regarding each of the general areas. Participants were asked to assess current level of proficiency according to a scale of high, medium, or low. Table II provides a breakdown of the eight general proficiency areas and one specific proficiency statement per general proficiency. (The remaining 32 specific proficiency statements are not shown due to space limitations.)

**Managerial Competencies.** Langerman and Smith (25: 9-34) provide a comprehensive managerial competency inventory that consists of six major areas and 243 competency statements. The competencies are further divided into three levels—*knowledge level* (knowledge of concepts or techniques), *skill level* (skill in doing or carrying out necessary activities) and *belief or attitudes level* (beliefs about one's capabilities, and attitudes towards management). Each of the knowledge and skill levels is further divided into a *beginning* level and *advanced* level. In this inventory, the terms management and administration are considered synonymous. The authors define management "as the art and science of working with people in order to achieve organizational goals and objectives. The fundamental functions of management are often designated as planning, organizing, implementing, controlling and evaluating" (25: 5). Table III provides a listing of the six general competency areas and one specific competency statement per general competency. (The remaining 237 specific competency statements are not shown due to space limitations.)

Self-assessment inventories have proven to be effective in arousing the interest of personnel who have not engaged in the study of adult education as an academic specialty. However, the extent to which they enroll and participate in professional continuing education classes, workshops and seminars has not been determined on a broad scale. Needless to say, in recent years, there has been an accelerating expansion of adult educators who are now promoting human resource develop-

## Table II

## A Self-Assessment of Generic Proficiencies

| Proficiencies | Current Levels | | | | | Desired Levels | | | | | Difference |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | low | medium | | | high | low | medium | | | high | |
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Function A. Understand and Make Use of the Conceptual Theoretical Framework of Adult Education.<br>Specific 1. Understand the distinctions between adult and youthful learners. | | | | | | | | | | | |
| Function B. Design Learning Experiences.<br>Specific 1. Be able to diagnose entry abilities for a given educational program. | | | | | | | | | | | |
| Function C. Select and Use Appropriate Methods and Materials.<br>Specific 1. Be able to involve others in planning and conducting learning. | | | | | | | | | | | |
| Function D. Understand and Relate to Community and Society.<br>Specific 1. Be able to assess the effects of learning on environmental influences. | | | | | | | | | | | |
| Function E. Administer and Supervise Adult Education Programs and Personnel.<br>Specific 1. Be able to project ideas and interpret trends and cycles. | | | | | | | | | | | |
| Function F. Use Evaluation Processes as a Learning Experience.<br>Specific 1. Be able to help adults assess their levels of knowledge, skills, and attitudes. | | | | | | | | | | | |
| Function G. Perform Effectively as a Member of a Professional Field.<br>Specific 1. Know how to assist people to develop the values for life-long learning. | | | | | | | | | | | |

Source: Extracted and adapted from, A Self-Assessment of 40 Proficiencies Generic to All Adult Educators in their Various Roles and Functions. (AAACE,1985)

## Table III
## A Self-Assessment of Managerial Competencies

| Competencies | Importance to My Career | | | Level of Present Development | | | |
|---|---|---|---|---|---|---|---|
| 1. Scope and goal of Adult Education | none | med. | high | none | low | med. | hig |
| 1.1 Knowledge—Beginning<br>At the beginning of his/her job, an adult education manager should know: 1.1.1 Theory and practice of teaching in adult education | | | | | | | |
| 2. Basic Management Concepts | | | | | | | |
| 2.3 Skill—beginning<br>At the beginning of his/her job, an adult education manager should be able to: 2.3.1 Adjust to change. | | | | | | | |
| 3. Planning | | | | | | | |
| 3.1 Knowledge—Beginning<br>At the beginning of his/her job, an adult education manager should know: 3.1.1 How to determine the goals of a department or area. | | | | | | | |
| 4. Organizing | | | | | | | |
| 4.3 Skill—beginning<br>At the beginning of his/her job, an adult education manager should be able to: 4.3.1 Identify those persons most qualified for a position when recruiting. | | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 5. Implementing | | | | | | | |
| 5.1 Knowledge—beginning<br>At the beginning of his/her job, an adult education manager should know: 5.1.1 How to handle employee complaints and grievances. | | | | | | | |
| 6. Evaluating | | | | | | | |
| 6.3 Skill—Beginning<br>At the beginning of his/her job, an adult education manager should be able to: 6.3.1 Evaluate one's own techniques and methods of management. | | | | | | | |

Source: Extracted and adapted from: *A Self-Assessment and Diagnostic Guide for Determining the Necessary Management Competencies.* (Langerman and Smith, 1979).

ment activities that focus on leadership techniques and a diversity of management methodologies. According to Knox (22), there are three areas of proficiency with special significance for all administrators in adult and continuing education: administration, program development, and use of research.

**Survival Skills.** There appear to be many emerging skills that effective adult school principals must learn for program and organizational efficiency and effectiveness. The following skill or proficiency areas represent key concerns of which knowledge and expertise is required:

*Budget Development*—This is a planning process that includes formulating a cost effective budget, determining direct and indirect costs and charges, and setting realistic fee structures. External efforts to secure funds for programs is a continuous process. Other internal efforts include establishing administrative mechanisms to handle enrollment and registration procedures, refund policies and a bookkeeping system.

*Time Management*—Effective use of time requires an understanding of many elements in the administrative process. Principals must develop effective techniques for handling and processing information. The need to identify priorities and the delegation of duties to staff are important components of time management. Brieve (2: 14-15, 27-31) suggests that administrators conduct on-going time studies to ascertain whether their time is being used wisely.

*Staff Training*—A major administrative function involving many factors in staff development activities that is designed to assist adult educators to re-examine their values, beliefs, needs, and experiences, and to help them foster improved performance through new perceptions and new behaviors (35). A multifaceted approach to planning, implementation and evaluation that is undergirded by human resource development principles is becoming a required proficiency.

*Recruitment and Retention of Students*—Administrative leadership must develop strategies for attracting and retaining students. Familiarity with participation and retention studies offers the best source of information about procedures that can be replicated and modified to respond to unique program needs. This is of particular importance in analyzing problems associated with literacy programs.

*Resource Management*—The adult school principal must successfully compete with principals of elementary and secondary schools for limited capital and material resources. Successful competition requires that adult school principals develop and maintain persuasive data that can be utilized to convince central administrators of the need to provide greater support to adult education. This is a constant challenge.

*Marketing*—Basically, this process involves publicity and promotion of programs. However, the marketing concept reflects an awareness of the larger social, psychological, and technological developments in American society. Administrators must consider the legal and moral implications of marketing adult education (29). The "hard sell" often results in failure to deliver promotion promises which can undermine the entire program of the adult school.

**Future Directions.** While the complexities of the roles and responsibilities of adult school principals have grown, the expectation that they will perform the three administrative functions of management, instructional leadership, and program development has been generally confirmed. In attempting to perform these roles, principals also face the many problems and daily pressures that make it difficult for them to determine what their role should really be. The adult school is typically a dependent unit of an education system with major purposes other than the education of adults. This marginality increases the competition for resources and makes it virtually impossible for the adult school principal to focus on the full range of administrative functions. Consequently, most principals spend most of their time and energy on management tasks. Job satisfaction studies consistently indicate that certain aspects of the management task area is one in which adult education administrators are most dissatisfied. Work categories such as lack of authority over budget preparation, the way policies are put into practice, adequacy of counseling and library resources, professional opportunities for in-service education via sabbatical leaves are some of the sources of growing dissatisfaction (33).

Adult school principals can substantially reduce their attention to routine managerial tasks by increasing the delegation of these duties to subordinates. This assumes that there are professional staff with the capability of effectively performing routine managerial tasks. In fact, job descriptions should reflect these proficiencies in staff recruitment efforts. The delegation of these tasks would enable the adult principal to become more involved in instructional leadership and program development.

A persistent theme in the literature on the principalship is one of too much responsibility and too little authority.

Effective principals are able to transcend this dilemma. They have developed a high level of awareness and skills to lead their schools toward greater success in spite of institutional constraints and operating problems. Effective adult school principals are able to put their ideas into action, thus producing results.

This chapter has provided a discussion of the major concepts and procedural components that are imperative for effective leadership of adult schools. It has also, briefly, suggested some factors that impinge on the successful implementation of the concepts as reflected by the research literature. A good balance between management, instruction, and program development is required for effectiveness in the administration of adult schools. Effective principals have a "vision" of what their schools are striving to become. Their leadership styles are flexible and proactive. They refuse to get bogged down in "administrivia" and become consumed by the organizational maintenance requirements of their jobs. Effective leaders are enablers who initiate, motivate and facilitate school improvement through exhorting professional staff to demonstrate excellence, promote new ideas, and go out of their way in meeting the educational needs of clientele. These considerations present special challenges to adult school principals who aspire to lead their institutions toward the more effective achievement of its goals.

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## Eight

# The Effective Middle Level Principal

by
**Jon Kron**

The appointment to a junior high or middle school principalship is a desirable achievement. It acknowledges the value of diligent preparation, dedicated service, and practical experience. Signing that contract is a savory moment of self-satisfaction, because the opportunity for independent thought and discretionary action is now at hand. This is the MIDDLE LEVEL PRINCIPALSHIP!

In a matter of time, however, the new principal finds it is simpler to have accepted the responsibility of leadership than to define a complex role, let alone fulfill it. The expectations described in educational texts and as presented in most certification today often are not an accurate portrayal of what actually exists. The social dynamics of the school setting confront the principal with chilling reality. Once positioned in his/her new office, the nascent leader must face the dilemma of deciding in more than theory what the principal's role should and *has* to be!

The preparatory phase of principaling requires knowledge and skill. The positioning phase demands much more. It calls for an ability to diagnose ever changing expectations. Such diagnosis leads to a clearer perception of what is and what is not. From this activity emerges a clearer perception of the practicing role of the middle level principalship.

Caught in the events and forces associated with building level leadership, the principal contends with multi-faceted variables and many times unpredictable expectations by students, staff, and community. The mix of conflict and constraint can quickly disillusion and dissuade the principal. Self-fulfillment may fade. The concept of unrestricted authority is elusive when maintaining loyalties to a school district and building within that same system. It is the "here and now" when the principal must diagnose the realities of the worksite if an effective role of leadership is to be realized. Role diagnosis demands the use of all available evidence to make value judgments related to goals, the means to get there, and the format of the solution. The diagnostic approach to the real expectations of the role and the local situation results in the effective principal.

**Middle Level Confluence.** A diagnosis of the middle level organization, whether junior high or middle school, places the building principal at the junction of several causal factors that shape and re-shape the principal's role, influence the stated and "hidden" curricula of transescence, and indulges parental involvment in school affairs. More social than anything else, these factors converge on the principal's office on a daily basis and contest both efficiency and effectiveness.

A test of effectiveness is a question of whether what is intended through curriculum development matches the expectations of each of the school's constituents. Students, staff, and community express common and individual concerns. The principal is looked to by all for guidance and resolution. But how effective is the principal? Answering this question is not a simple matter because of the principal's range of activity in educational programming and practice and the depth of individual effort. The connection of performance to outcomes is not easily discernible amid the complexity of the school's learning environment.

What individual can be identified as totally responsible for any result in a social organization? Certain individuals, as the building principal, do play a more important part in reaching some goals than others have (1). But in a school, no one person can be completely responsible for any result, let alone the results of a learning environment. Implicit, and of necessity, most effort is team effort; most results, team results. Any organizational arrangement or managerial technique that suggests otherwise is unrealistic and inhibits the very cooperative effort needed for effectiveness.

The principal does perform important functions and does influence the climate of the school setting. But those functions also reflect system-wide and local decisions as well as outside influences. To understand the principal's role, the confluence must be examined in light of three causal factors that are highly interactive in the middle level principalship.

*The Transescence Factor*—Foremost and forever influencing the principal's role are the unique characteristics of transescence (2). The distinctiveness of these characteristics is the most generally accepted justification for middle level organization along with 1) providing better transition for students between elementary and high school, 2) initiating various innovations, and 3) alleviating such problems as finance, building, enrollment, community pressures, and de facto segregation (3). But in the principal's role, it is not a matter of justifying the existence of the organization as much as responding to the demands and conflicts caused by learner characteristics.

A school dedicated to the growth, welfare, and development of emerging adolescents is an environment unique unto itself. Student behavior though variable has a high degree of predictability. Resentment of authority, rapid physical growth, hero worship, idealistic attitudes, extreme moods, immature behavior, and a quest for peer approval are some of the learner's traits that test adult patience and understanding.

The middle level principal is expected to respond to the transescence factor in a responsible and effective manner. The principal is expected to plan, direct, control, evaluate, and make decisions in improving schooling for the transescent. To do this with any effectiveness, two other causal factors must also be examined.

*The Conflict Factor*—Today's schools are open arenas for conflict among students, staff, parents, and members of the community. Diagnosis of the conflict factor can lead the principal to devising effective strategies for conflict resolution. Conflict is a major factor in the life of a middle level principal.

Conflict resolution cannot be accomplished without a firm basis for action. The principal's motives must be openly expressed in the form of decisive leadership. His/her actions should reflect a substantial commitment to represent the "bigger picture" as conflicts arise.

Contemporary changes in open-community relations dictates a visible administrator who wards off trouble by early detection. It is expected that the active principal will be in a position to disarm conflicting issues before they explode into uncontrollable events. The unpredictability of conflict can intimidate the principal's role unless prepared for by proactive, responsible action. The burden of conflict is repressive.

Most of the time, the building principal acts as a first responder to contentious issues. The closeness to those inside the school and those without places the principal in sensitive situations that frequently require immediate resolution. Caught in between the local school and the broader interests of the school system, the principal is not always in a position to act freely. There are constraints surrounding the principal that need further consideration.

*The Constraint Factor*—No one causal factor breeds personal frustration as intensely as the mandatory nature of the public school sector of education. Federal regulations, state mandates, and central office policies and procedures help frame in the role of the principal. Unlike most other organizations, school systems are encumbered with numerous fixed rules and standardized procedures (4). The principal has to interpret and administer procedural directives while maintaining some semblance of individual authority and initiative as a school leader. Herein lies a frustration.

Adherence to a framework of formalized behavior is only a part of a larger complex of concerns. As the advocate for the school unit within the larger school system, the principal seeks to balance the loyalty and allegiance to both. The act of balancing the pressures and expectations of the central office with those of the local school site requires remarkable skill. It takes an above average principal to manage the interrelationships of people when under the jurisdiction of higher authorities. It also takes much discretion, ingenuity and independence to maneuver for accomplishment. As an example, how can the principal spend an expected amount of time in staff and curriculum development and still cope with the reality of employee relations, organizational stability, and the interests of political factions? Also consider that the educational environment of today has 1) the contentiousness of collective bargaining, 2) the legal challenges of the student consumer, and 3) the political pressures of the school system itself. Yet, despite the frustrations and constraints, many principals do persevere and are regarded as highly effective administrators.

The interaction of the three causal factors of transescence, conflict and constraint results in the formation of the actual role of the middle level principal. Defining that role is a process by which diagnosis of the circumstances and conditions of employment on a continuous basis leads to improved performance. A suggested method is to define one's role by screening selected characteristics critical to effective school administration. The screen of selection is used as a means to help predetermine the likely level of individual performance.

**Screen of Selection.** Effective performance may best be determined by screening for individual behavioral outcomes through a network of characteristics that define the role of the middle level principal. Ellett and Licata (5) tell us that performance is understood by examining role expectations, the adaptation to norms and values of the informal organization, and the meeting of individual needs. The principal has the opportunity to compare role expectations and actual performance as a basis for diagnosis of role development. A major component of the network is the leadership function.

*Leadership*—Every leader needs a credible reputation. Followers need to believe in the credibility of the organizational leader (6). So it is with the building principal whose reputation affects the community as well. The principal's credibility is based on the traditional values of trust, fairness, and the willingness to acknowledge the worth of others. The principal must honor those same values which tie teachers to their profession. Any principal will fail in the leadership role if integrity is sacrificed for political or any other reason.

Bennis and Nanus (7) identified five key skills of leadership:

1. The ability to accept people as they are, not as you would like them to be...
2. The capacity to approach relationships and problems in terms of the present rather than the past...
3. The ability to treat those who are close to you with the same courteous attention that you extend to strangers and casual acquaintances...
4. The ability to trust others, even if the risk seems great...
5. The ability to do without constant approval and recognition from others...

No amount of technical skills can balance a lack of ethical behavior. Reputations are delicately structured and can be abruptly shattered. An effective principal tells the truth, admits mistakes openly, and believes in the credibility of others. A reliable leader is an accountable leader. Faith in leadership empowers the principalship.

Decisiveness builds confidence in leadership. Leaders learn from taking risks which also strengthens confidence. The will to take action earmarks a leader. Predominate in decision making is an inherent ability to withstand various painful outcomes along the way for the sake of successful achievement in the end. The innovative principal fights for his/her position against the potential rebukes of central office authority when an alternative route is the only way to solve a problem. Decisiveness and courage are necessary traits for a positive image of the school and its principal.

Leadership of a school is also a community service. Linkage with community resources builds public confidence in the principal. It enables the reduction of tensions, adds to accountability and heightens the reputation of a responsive public servant. The principal's role functions well by involving lay participation in school programs. An openness to the community leads to better understanding and community support.

Leadership is responsibility to the diversity of human interests and needs. This calls for common sense as much as protocol. Central office management expects the principal to resolve problems at the local level as much as possible. The principal's use of discretion is essential when complying with the directives of the central office. Ultimately, the principal will probe the chain of command to find those links which will accomodate "at the edge" behavior. The effective principal learns to exploit bureaucratic weak spots for the benefit of the school setting. Such exploitation of the system's weaknesses is necessary at times if the concerns and needs of local constituents are to be met. Responsible leadership means *discretionary* decision making.

**Intervention.** School administration is political. Any organization has a political side and the school principal must take advantage of this fact. Participation in the political nature of the organization is vital to personal survival as well as improving the organization. The principal walks among several vested interests demonstrated in the public sector. The principal needs an astute sense of political reality as a functionary of school policy and procedures.

The general public expects quality education from its schools. Parents, in particular, demand safe environments for their children. Neighborhood groups and other agencies outside the school request cooperative use of the school's facilities. Teachers depend on the principal for even more. Crowson and McPherson (8) state:

Teachers count on principals to control the intrusion of unruly pupils into classroom order, to ensure a necessary flow of instructional materials and supplies, to coordinate school activities in such a way to minimize classroom interruptions, and to absolve teachers from as many nonteaching responsibilities (such as playground, patrol, paperwork) as possible.

In of itself, the principal's job is like a bramble of unpredictable and often contentious events. The principal's concern is with decisions that control the welfare and reputation of the school. Significant direction comes from the principal in these numerous, everyday decisions. Especially noteworthy is the principal's obligation to execute system-wide policies at the building level. The decisions of when, how, and what to do dramatically influence the local perspective of those policies. This intervention is a measure of leadership skill.

An effective principal recognizes the value of the give and take in human relationships. Most people, if they see that they are being respected and rewarded, will return respect and reward in kind. Another measure of effective leadership is the ability to persuade people to do things for the good of the school. The principal has at hand the resource of rewards and incentives which, if used judiciously, can improve the school environment to benefit all. It is not being politically devious to reward outstanding teaching performance. It is healthy to support innovative teaching techniques with ample resources and support. A more open attitude toward motivational incentives is an effective strategy. It should also be noted that the effectiveness of the principal will be destroyed by showing any signs of favoritism to some individual(s) or group(s) over others within the school. Morale will nosedive and a split faculty will result. Though certain individuals and groups may try to play politics with the principal for their own ulterior reasons, such flattering attention must be resisted. Each person and department within the school must be given equal treatment and opportunities if the principal is to be or remain an effective leader.

**Efficiency.** Good organization is a forerunner to efficient management. The principal is charged with organizing time and resources around tasks. The organizing function is to match goals with the means to reach those goals. Loose organization depreciates the value of leadership. Respect is lost and morale drops when organizations are inconsistent and inefficient. On the other side, personal pride abounds when things are done well and on time. Teachers are methodical planners and expect exactness from their administrators. There is also the danger that the bureaucratic system can become too rigid and impersonal through the standardization of procedures and uniformity of expectations. Efficiency diminishes when the amount of individual freedom and adherence to a system are in conflict.

The principal cannot disregard the human element in management and the custodial function. It is a necessity to allow for individuality and personality quirks. Although efficiency is a priority, personal issues of morale and cooperation weigh more as operative goals. The principal's role includes the continuous effort to reduce tensions caused by bureaucratic needs. Prompt attention, reasonableness, and discretionary action can make a difference in site management.

The custodial function of the principalship involves control of facilities, staff, and students. A myriad of duties comprise the managerial responsibility of the principalship. They include, 1) attendance, 2) discipline, 3) selection of staff, 4) supervision, 5) student affairs, 6) public relations, 7) guidance and testing, 8) counseling, 9) curriculum development, 10) staff development and inservice, 11) clerical, 12) transportation, 13) maintenance and 14) outsiders' use of facilities. Other managerial tasks are scheduling, budget development, reports, and requisitioning. All of this must be handled in an efficient manner. Site management is another measure of the effective principal's performance.

Operative management requires the delegation of repetitive secondary tasks to staff subordinates. Efficiency rests on the delegation of authority with close supervision. The principal should be active and mobile. Rarely does the principal stay locked to the desk. The school is a people operation where a preponderence of time is spent away from the office and with people.

Efficient management also requires a sensitivity to accuracy and the completion of all tasks. Being in command means the preparation and implementation of well conceived plans, routines, and procedures. The effective principal uses a check and balance system while relying on subordinates with expressed confidence. Daily communication with staff is modus operandi because a free flow of information satisfies staff's inquisitive nature and improves efficiency of operation.

**Curricular Influence.** The principal's role in curriculum development is often the mismatch of stated expectations, professional commitment, and the allocation of time. Historically, the supervision of curriculum has been more of a service than an administrative function. The principal is the designated curriculum site leader who is responsible for the improvement of instruction and for creating an environment conducive to learning.

The reality of the confluent setting of the school and its heavy administrative demands restrict the principal's direct involvement in the curriculum. The principal, in reality, is forced to find ways of influencing the curriculum, despite the numerous constraints, because the charge of curriculum leadership remains a major function and expectation. Babcock (9) described the situation best when he said:

> In short, the principal carries the direct responsibility for providing a good environment for learning. Only as the principal crates a building atmosphere in which the full potential of the teacher is released, can the teacher provide fully rewarding learning opportunities for the pupil in the classroom.

The responsibility of guiding and influencing the curriculum lies with the principal, whereas the responsibility of *creating* the curriculum is with the teaching staff. Instruction is not a matter of administrative direction, but rather a teacher art and creation. But can the principal live with the notion that his/her role is one of extending curricular leadership through the instructional staff and being supportive of the results?

Harnack (10) provides justification for this strategy when he stated:

> The building principal must recognize where the action is—where the application of the curriculum is made—where the learner is and that is the instructional setting. The teacher—especially the teacher—must make intelligent decisions related to curriculum planning. What is proposed is executed or not executed by the teacher in the learning situation.

Teacher behavior and teacher attitudes are measures of the principal's effectiveness in curriculum leadership. The better approach to influencing the curriculum and the learning environments is through the instructional staff. No teacher plans in a vacuum. Therefore, the principal must provide resources and conditions that best support teacher decision making. The principal's influence is a more indirect and less obvious approach to the achievement of curricular goals and objectives.

## SUMMARY

Middle level schools are confluent social organizations of human need. The principal's role is multidimensional and by its milieu more reactive than proactive. Anyone accepting the responsibilities of the principalship soon learns the difference between what is supposed to happen in the school and what actually happens. The seeming dichotomy comes from a confluence of human interests and concerns at the local level of education.

Three predominate factors that confront the principal and which require diagnosis are: 1) transescence, 2) conflict, and 3) constraints emanating from the bureaucracy of a school system. Diagnosis of these major factors can lead to understanding, better performance by the principal, and a clearer definition of his/her role in the complex school environment. The vitality of human interactions from within the school and from without the school cause the principal to initiate strategies for controlling the situation.

It is suggested that principals consider screening selected managerial and leadership functions of the principalship in order to evaluate self-perormance, determine effectiveness, and achieve role-definition. The selected functions are: 1) leadership, 2) intervention, 3) efficiency, and 4) curricular influence.

Effective principals are those who influence rather than direct the curriculum. They recognize and value the teachers as *the* curriculum builders of the school (within the guidelines of district-wide policy). Following this attitude and perspective, the effective principal extends his/her leadership through the teaching team by guidance, and the marshalling of resources and support staff. The role of the principal does have dramatic effect on the learning environment. The principal's ethical behavior, even-handedness, honesty, and trust have remarkable influence on the school climate. A success oriented personality has great impact on the school's educational outcomes.

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## Nine

# The Effective Elementary School Principal

by
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### Introduction

Research conducted in the 1960s and 1970s presented a pessimistic and gloomy picture on the effectiveness of schooling. James Coleman's conclusion that the strongest variable accounting for student achievement was the parents' socio-economic class left little or no room for modification within the school's environment (5). Glickman states:

> ...he [Coleman] observed that this variable was beyond the control of the school. Children of middle or upper income families entered schools substantially ahead of students of low-income families; as they continued in school, the achievement gap between socio-economic levels grew larger. Wealthy students stayed ahead, and poor students fell further behind. Regardless of the school's physical plan, teachers, materials, or finances, the gap enlarged. Most interpretations of Coleman's study indicate that schools made no difference in student achievement (1: 14-15).

Other studies and writings that rocked the schools' credibility were Christopher Jencks (1968) report entitled *Inequality: A Reassessment of the Effect of Family and Schooling in America,* Charles Silberman's (1971) *Crisis in the Classroom,* Jonathan Kozol's *Death at an Early Age,* and Ivan Illich's *Deschooling Society.* As a whole, these reports have further weakened confidence in school effectiveness (1: 15-16).

On August 26, 1981, Secretary of Education, T. H. Bell, appointed the National Commission on Excellence in Education and directed it to present a report on the quality of American education to the American people by April 1983 (2). Once published, the report, *A Nation at Risk,* focused attention on public education, causing the latter to become "an important part of the national agenda in 1983, 1984, and 1985" (3: 10). In fact, the report was referred to as a "Paper Sputnik!"

Contrary to earlier studies, *A Nation at Risk* provided a challenge for school reform.

> America Can Do It
>
> Despite the obstacles and difficulties that inhibit the pursuit of superior educational achievement, we are confident, with history as our guide, that we can meet our goal. The American educational system has responded to previous challenges with remarkable success. In the 19th century our land-grant colleges and universities provided the research and training that developed our Nation's natural resources and the rich agricultural bounty of the American farm. From the late 1800s through mid-20th century, American schools provided the educated workforce needed to seal the success of the Industrial Revolution and to provide the margin of victory in two world wars. In the early part of this century, and continuing to this very day, our schools have absorbed vast waves of immigrants and educated them and their children to productive citizenship. Similarly, the Nation's Black colleges have provided opportunity and undergraduate education to the vast majority of college-educated Black Americans.
>
> More recently, our institutions of higher education have provided the scientists and skilled technicians who helped us transcend the boundaries of our planet. In the last 30 years, the schools have been a major vehicle for expanded social opportunity, and now graduate 75 percent of our young people from high school. Indeed, the proportion of Americans of college age enrolled in higher education is nearly twice that of Japan and far exceeds other nations such as France, West Germany, and the Soviet Union. Moreover, when international comparisons were last made a decade ago, the top nine percent of American students compared favorably in achievement with their peers in other countries.

> In addition, many large urban areas in recent years report that average student achievement in elementary schools is improving. More and more schools are also offering advance placement programs and programs for gifted and talented students, and more and more students are enrolling in them.
>
> We are the inheritors of a past that gives us every reason to believe we will succeed (4).

That academic improvement is possible within the schools was the main message delivered by *A Nation at Risk*. As expected, the message first caused educators to become defensive, since it was taken as another attack on education. However,

> When careful study showed this was not true, the tone changed. In fact, almost every report re-affirmed public education as a key element undergirding our society, and that it required, and demanded, public support. Therefore, after the first flurry of defensiveness there followed discussion and study in the educational community, which led to many improvements and plans for fundamental reform. The preponderance of mounting evidence shows that those schools and educators who took the criticism in a constructive way and mounted action campaigns to improve their product, gained from the tidal wave of criticism which resulted from the *A Nation at Risk* report (3: 10).

**Can Schools Make a Difference?** Although the studies of the 1960s and 1970s established that the home background is the main predictor of school achievement (5) and that public school contributed to inequality in the United States (6), other researchers refused to accept these findings (7:4). G. Weber, R. R. Edmonds, A. A. Summers, B. L. Wolfe and J. I. Goodlad claim that some schools have shown a positive effect on students (8).

Carl Glickman believes that the studies of the 1960s and early 1970s neglected to 'point out' the schools which were effective, since the overwhelming majority of the schools used in the studies were ineffective. According to Glickman, "The group results would wash out those individual schools that might have results to the contrary." Current research has focused on individual exceptional schools which have consistently achieved results regardless of the composition of the student body, their location, the socioeconomic condition or the wealth of the districts (1:16).

Eugene E. Eubanks and Daniel Levine (9: 697) did a preliminary examination of effective schools projects at inner-city schools in New York City and Milwaukee. Their analysis suggested "that intelligent implementation of direct instruction can result in substantial immediate improvement of student learning."

While effective schools were being put under the microscope by researchers in an effort to identify their characteristics, the *Kappan's* front cover suggested that we "LOOK before we LEAP!" (10)

John H. Ralph and James Fennessy warn that "The significance of the effective schools research lies more in the ideology underlying it than in the validity of the empirical support for the idea that schools can lessen the effects of race and social class on academic achievement (11: 695). These two authors, among others, cast a shadow of suspicion on research done on effective schools. They question the findings of effective schools. They question the findings of effective schools on several points:

- In one study no attempt was made to identify student-level socioeconomic characteristics; thus, "the precise effect of social class or related factors on the observed school-level differences is uncertain."
- They found two studies that mentioned data tampering.
- They also found that in six of the 10 high-performing classrooms, which showed unusually large gains in average reading level, students were coached for the test (11: 692-693).

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EFFECTIVE SCHOOLS RESEARCH:

SOME CAUTIONARY WORDS — RALPH AND FENNESSEY

LOOK BEFORE YOU LEAP

Ralph and Fennessy believe that:

> The effective schools perspective has an important place in educational thinking but it has been mistakenly identified as a scientific model. We believe it is a rhetoric of reform. In the guise of positive science, what we find is a set of normative principles. Scientists and reformers in this area have confused their identities: school reformers are seeking to be perceived as scientists, and, to a lesser extent, scientists are trying to accomodate reformers. What is needed instead is a clearer conception of school planners and decision makers as professional managers and problem solvers (11: 693).

Larry Cuban states that "Substantial problems with the research on effective schools have not stopped policy makers from converting this research into school programs." He further added that although he believes that "teachers, administrators, and tightly coupled organizations can make an academic difference in the lives of children," caution should be taken against embracing "research findings and rapidly convert[ing] them into mandates." Cuban further states:

> The erosion of public confidence in schooling coupled with the unfriendly insistence of policy makers that some action be taken to improve the quality of schooling, established a platform from which to launch programs to improve academic performance in individual schools. Such changes as state-legislated competency tests for both teachers and students, accountability schemes, and graduation requirements were like trying to fix a digital watch with a hammer (12: 695).

Cuban's 1983 article also cited what he perceived as evident problems with the research on effective schools. First, "No one knows how to create effective schools." Human behavior being unpredictable, prevents reliable answers to questions on how to create effective schools. He added, "We might have signs but no road maps." Second, "The language is fuzzy." The terms "effectiveness," "climate," and "leadership" are undefinable. Third, "Effectiveness is a constricted concept. Most researchers tied effectiveness to low-level skills test results in mathematics and reading, ignoring concepts such as sharing, learning to make decisions, developing self-esteem, and acquiring high-level thinking skills and aesthetic sense." Fourth, research has been limited to the elementary schools. Cuban fears that what might apply as effective characterisitcs at the elementary level might not be appropriate at the secondary level. He further noted that the National Assessment of Education Progress had reported that reading and math scores for 9-year-olds had risen in general and that big city school districts also reported gains in reading and math for the early grades. Thus, "whether or not these test score gains result from newly implemented school improvement efforts is less important than the growing belief that school districts HAVE the tools to do the job." (12:695)

Although the shadow of doubt on effective schools research was cast, researchers continued to study 'outliers'—those schools whose students achieved more than expected in spite of family background.

> Comparing and contrasting these exceptional schools opened a fertile field for research about school effectiveness. Even Coleman is now using this technique, and his new conclusions are remarkably consistent with those of other leaders in the field. A fairly large body of evidence now indicates not only that school characteristics do make a difference, but also that effective schools are different from ineffective ones in predictable ways. In other words, research is now telling us what makes a good school (13: 1).

**Characteristics of Effective Schools.** In 1982 the Educational Service Center Region XIII staff in Austin, Texas identified five essential elements in effective schools:

- Expectation and achievement
- Teaching for mastery
- Instructional time and achievement
- Effective communication
- Administrative leadership

Surprisingly enough, factors such as school size, teacher race, teacher experience, teacher salaries, and per-pupil expenditures are characterisitcs that do not appear to influence student achievement.

The Center's research revealed that:

- Effective schools recognize the relationship between expectation and student achievement.
- Effective schools stress teaching for mastery through systematic instruction and manipulate the teaching and learning processes to produce high levels of student learning.
- Effective schools are sensitive to the relationship between instructional time and student achievement.
- Effective schools tend to have more parent involvement and better parent-teacher relations than schools that are less effective.
- Finally, and perhaps most importantly, effective schools are characterized by the principal's role as an instructional leader (13: ix-3).

A booklet, published by the U. S. Department of Education in 1986 states that the most important characteristics of effective schools are strong instructional leadership, a safe and orderly climate, school-wide emphasis on basic skills, high teacher expectations for student achievement, and continuous assessment of pupil progress (14:45).

Another study, done by Peter Mortimore and Pam Sammons in London over a four-year period, "identified 12 factors—most under the control of the principal and teachers—that distinguish effective elementary schools from less effective ones."

1. Purposeful leadership of the staff by the principal
2. Involvement of the assistant principal
3. Involvement of teachers
4. Consistency among teachers
5. Structured sessions

6. Intellectually challenging teaching
7. Work-centered environment
8. Limited focus within sessions
9. Maximum communication between teachers and students
10. Record keeping
11. Parental involvement
12. Positive climate

The researchers stated that these 12 factors have an interlocking effect and that an effective school will only materialize when each participant (the principal, staff, students, and community) plays a positive role (7: 4-8).

In 1986-87, the state of Texas conducted several leadership training sessions on effective teaching. The introduction on the materials compiled for the participants stated that 95 percent of the children can learn effectively if schools have certain characteristics. The handout listed five characteristics of effective schools:

1. Instructional leadership by the principal.
2. Agreement by teachers and principal on basic skills education as the central goal.
3. An orderly climate, with generally accepted disciplinary standards and well-maintained physical plant.
4. Teacher conveyance of expectations that all students will adequately learn basic skills.
5. Regular use of standardized tests to measure achievements and adjust instruction accordingly. (15)

While the indicators listed by different researchers as essential elements for effective schools vary in number, they seem to agree in content. However, the majority of the studies seem to stress the importance of the principal's leadership.

**The School Climate.** The fact that effective schools exist is being verified through research, since the experts now seem to agree on specific indicators designating such schools.

> An effective school tends to 'jack up' the performance of all students irrespective of their sex, social class origins, or race. Moreover, the evidence indicates that although overall differences in attainment were not removed, on average a student from a blue-collar worker's family attending an effective school achieved more highly than one from a white-collar family background attending one of the least effective schools (15:6).

Researchers further found that the differences among schools in their effects on students' progress and development was due to differences in school policies and school practices (15: 6). While school policies are set by local school boards and state agencies, school practices are the domain of the individual school. "The Influence: An Experience in Leadership" explains how the school principal shoulders the responsibility of setting the operational climate. The researcher's analysis states:

> In applying this situation to the principalship, the instructor believes, as many others do, that a school is only as good as its principal. The principal's words and actions, whether he is aware of the fact or not, are continuously setting the tone for his faculty, staff, students, and community. His body language often speaks louder than his words in setting the learning and working climate. Thus, the burden of having your...staff operate as a smoothly coordinated team...lies on your shoulders, Mr. [or Ms.] Principal (16: 27-30).

Richard L. Andrews, Chair, Policy, Governance, and Administration, University of Washington, College of Education affirms that "Gains and losses in students' test scores are directly related to teachers' perceptions of their principal's leadership" (17: 9). He further acknowledged that even though the fact that good schools had good principals was common knowledge, "We didn't know what that really meant." When asked by the Executive Editor of *Educational Leadership*, Ronald S. Brandt, "And now you do?" he responded:

> If we define the good principal as someone who provides instructional leadership for the school, yes. One of the reasons earlier researchers didn't

> discover as much as they might have was that they weren't asking the ones who supposedly were being led: the teachers. Other research has focused on teachers' perceptions of the leadership of the principals—and we've found some interesting things (17: 9).

Andrews verifies that teachers' perceptions are accurate, "...because they correlate with incremental growth in student achievement" (17: 9).

Janie Marquiss, a graduate student at Stephen F. Austin State University, conducted a study on "Are Tyler County Elementary Schools Effective Schools?" as a part of her class requirements for an Educational Administration course. The study utilized five school districts within the area and centered around ten questions which directly called for the teacher's opinion on how well the principal was doing his/her job. After obtaining approval from the superintendents in each of the five districts, she approached each principal asking if she could randomly select five teachers from his/her building to answer the questionnaire.

Although this student's research goal was not designed to pass the scrutiny of a thesis committee, the following quotation agrees with Andrews' belief that teachers' perceptions are accurate!

> The greatest reward I received from this research was the cooperation in allowing the participants to do the questionnaire. I feel that the cooperation and the way each principal related towards myself was shown in a direct relationship to the answers received on the questionnaire. Those with enthusiasm toward me and my mission also received the highest scores on the questionnaire. Those with less or no interest or enthusiasm, proportionately were lower in their scores. It appears that the cliche, "What you see is what you get," applies in this situation (18).

Andrews and Soder concluded a two-year study in 1985 in Seattle Elementary schools. Their "findings tend to confirm what common sense has long suggested: teachers are a legitimate source of data regarding principal behaviors" (19: 11).

The going trend among the experts on effective schools points to the fact that teachers' perceptions of their principals accurately reflect the schools' climate. Thus, an effective principal should keep a good image with his/her faculty, the students, and the community. One way of doing this is by providing continuing and accurate information to the public.

Drake and Roe concur that "the social climate of the classroom, the school, and the general community has an important influence on student behavior" (3: 51). Therefore, setting the school climate is an important responsibility of effective school principals.

**Setting an Effective School Climate.** Leadership continues to remain an interesting topic of research among educators since it is a major force in getting work done. The Hawthorne experiments of the Western Electric Company in the early 1920s, while trying to find out how variables such as rest periods and lighting affected production, concluded that the frequency and duration of the rest period and adverse working conditions in general had no bearing on production. The conclusion reached was "that psychological factors can be of greater importance to production than physical ones" (20: 60). If the latter is true, then principals should place greater emphasis on creating an effective school climate.

The Texas Education Agency, through its 20 Regional Service Centers, compiled a list of six ingredients deemed necessary in creating an effective school-wide climate.

- Priority on academic learning
- Orderly, businesslike workplace
- Yet friendly and supportive
- Clean, safe, comfortable environment
- Open communications, involvement
- Coordination, teamwork among teachers (21: v-1)

Experiments, such as the Hawthorne, have consistently concluded that the individual is the most important part of an organization. Thus in creating an effective school climate special attention should be placed on the individual (the student, the teacher, the counselor, the janitor, the staff worker, etc.). However, since the student is in reality the main "essential" element of any school, and the primary purpose of schooling is to promote the students' learning, then top priority should be placed on academic learning.

**Academic Learning.** Placing priority on academic learning ensures that the long-range goals and expectations of the school are met. To do this, an effective principal must have *vision*. Vision was addressed by a team of researchers at the University of Texas at Austin in personal interviews with principals when they asked: "What is your vision for this school—your long range goals and expectations?" (22: 32)

> Without hesitation, effective principals would begin to list their goals for their schools. Typical goals included finding ways to meet the learning needs of all students, helping teachers adjust to a changing school population, raising test scores in a specific area, or turning out more National Merit Scholars. The principals responded with an enthusiasm that reflected their personal belief in and active support of these goals. Note, too, that their goals focused on students (22: 32).

The less effective principals, on the other hand, responded (after a long pause) with nonspecific answers. They made references to the quality of their teachers, insinuating that their schools were already doing a good job. Others referred to typed goals and objectives written at the district and/or state level. Some even "offered to locate a copy of these goals for the researchers" (22: 32). None, however, expressed enthusiasm, active support, or goal expectations. In sum, less effective principals are mainly assuring that nobody rocks the boat.

Most research now indicates that effective principals are motivators. They stimulate and support both students and teachers to achieve the goals of the school, goals that they themselves are able to vociferate. Hostrop has long advocated that principals should not only be administrators but also managers.

> Administration pertains to directing, organizing, and executing. Management, on the other hand, has three aspects in which administration is but *one* of its functions. Besides *administration*, management is equally involved in *planning* (conceptual thinking) and *leadership*. In short, the functional responsibilities of management alone determine the success or failure of an enterprise (23: 157).

In giving top priority to academic learning, the effective principal must also be aware of learning climate, time on task, teaching strategies, and feedback techniques. S/he must also be knowledgeable of the process involved in delivering the lesson cycle, keeping in mind that lesson cycles are a guide and not a dogma of faith that needs to be exactly followed. Room for creativity on the part of the teachers must be allowed. Having this knowledge will provide the principal with the necessary expertise to *establish criteria* for teacher, student, and program evaluation as well as improvement.

High visibility is another commonly expressed desired trait for principals as they work in the area of academic learning. Kojimoto's interview with children revealed that:

> Students generally gave high marks to principals for maintaining this kind of high visibility [walking the halls, on the playground, the lunchroom; talking to teachers and students; and visiting classrooms]. Circulating frequently connotes to youngsters that the principal knows what is going on in the school generally and is interested in what students are doing specifically. Principals who 'hide out in their offices,' on the other hand, were characterized as unfriendly, lazy, and uninterested (24: 71).

**Orderly and Businesslike Workplace.** An orderly, businesslike workplace can be created if the principal knows the overall goals and objectives of the school in relation to the needs of the students, teachers, and the community. Blum, Butler, and Olson speak of a "new training program being field-tested this year (1987) by the Northwest Regional Education Lab [which] puts principals through a year-long series of workshops" (25: 25). The workshops stress five content strands: 1) vision building, 2) school climate and culture, 3) curriculum implementation, 4) improving instruction, and 5) monitoring school performance. The program stresses knowledge of where the ship is headed; sharing decision making to keep the ship on its proper course, and thereby building staff morale; maintaining focus on the destination and the proper course to get there; quality service to all passengers; and constant monitoring of the ship's progress towards its destination, as well as staff and customer satisfaction. Collectively, they will provide an orderly, businesslike workplace.

The effective principal, while being friendly, should not show favoritism toward particular faculty members by socializing more with them than with the rest of the faculty. Teacher jealousy can be a crippling factor that will eventually lead to low staff morale and ineffective schools.

Several cases of teacher dissatisfaction are due to the principal's inability to provide an adequate working environment. This environment has a direct relationship to the type of leadership exerted by the principal. Rodriguez hypothesized that if the person is the most important part of an organization, then the leadership style would have no effect on productivity if the leader was constantly friendly towards his/her subordinates. Keeping in mind this original hypothesis, the instructor role-played three different leadership styles, one style per class, in conducting three Educational Administration graduate classes. In one class he played the "Friendly Democratic" professor; in the second class he was the "Friendly Laissez-faire" professor; and in the third class he presented himself as the "Friendly Autocratic" professor.

After a whole semester of role playing the three leadership styles, the final grades made by the students in each class were analyzed with a simple t-test. The results revealed no significant difference between the number of A's made in the Laissez-faire and the Democratically treated groups. Yet, there was a significant difference between the number of A's achieved in the Autocratically and Democratically treated groups and the number made in the Autocratically and Laissez-faire treated groups. Thus, the null hypothesis was rejected (26).

Table 1

| | % of A's | % of B's | % of C's |
|---|---|---|---|
| Laissez-faire | 21.4 | 78.6 | 00.0 |
| Democratic | 29.2 | 66.7 | 00.0 |
| Autocratic | 73.3 | 26.7 | 00.0 |

If we stopped at this point without any further analysis, it could be concluded from Table 1 that an autocratic environment is the superior method for learning to take place. The novice researcher should be cognizant of the fact that while figures don't lie, liars figure. In this study the results revealed that while the autocratic leadership style produced higher achievement, the students' morale was dangerously low, even though the instructor made a serious attempt to create a friendly working atmosphere.

In like manner, the effective principal must realize that an effective school is not judged only by the achievement increases made in the academic areas, but also by an increase in the affective domains. Glickman suggests that we look closely at effective schools, since they are not necessarily *good* schools. He cites a telephone call he received from a mother of a public school student in another state.

She explained that her child's school had become involved in an "effective schools" program and that the outcomes had included the elimination of all recess periods; the devotion of more time to teacher-centered, total group instruction in reading and mathematics; greater reliance on textbooks and mimeographed drill sheets; the curtailment of individual and small-group projects; the closing of classroom learning centers; and the cancellation of field trips and free time for students. The mother quoted her child as saying that, "school isn't fun any more; it's so serious, and we have to work all the time" (27: 622).

Richard C. Wallace, Jr. acknowledged that every child "can master the basic fundamentals of learning—but that's not education." His school district defines the educated person as "a person who can respond, both orally and in writing, to higher order questions that deal with concepts, generalizations, and themes coming out of the academic disciplines" (28: 43).

Perhaps principals should also look at what effective schools have created: a mechanical, uniform, teacher-directed workplace in which teaching lacks spontaneity, everyone does the same thing and learning discovery is often missing. Glickman warns that, "...educators who care about the fate of all children must define *goodness* before they worry about *effectiveness*" (27: 624).

To provide an orderly workplace, the principal should be firm in enforcing school policies and discipline codes. S/he should know and recognize effective teaching, observe and analyze teacher performance, take appropriate action as needed to maintain quality in the classrooms. An effective principal must also be able to manage his/her own time as well as evaluate his/her own performance, since a good leader knows his/her own capabilities and weaknesses. Self-awareness of personal leadership styles is also an important element in maintaining a proper workplace.

**Yet Friendly and Supportive.** According to Rutherford, effective principals do more than monitor what goes on in their schools. They sincerely praise and recognize teachers whenever they get an opportunity to do so. These actions create a positive self-image for the teachers, which in turn helps create a friendly and supportive school climate.

Teachers tend to describe a "good school" in which they work as a place where the principal had "visions for the future of their schools," and was supportive of the instructional programs. Academic support was shown by effective principals through allocation of funds and materials in order to maximize "teaching effectiveness and thus student achievement" (22: 32-43).

Supportive encouragement can be expressed through prompt feedback after every teacher observation followed by a conference. During this conference, the effective principal discusses the observation and talks about areas needing improvement and the expected amount of improvement. The teacher is then asked to provide written plans on the intended changes. These plans are later used as a guide in measuring the teacher's progress during the next observation (22: 32). Clarity of expectations gives teachers a sense of moral support and confidence in performing their jobs.

In an effective school the principal signals to the faculty "... that instructional priorities are more important than other concerns in the school, such as the extracurriculum" (29: 22). Wilson and Firestone listed five factors used by effective principals to influence instruction positively: 1) time on task, 2) class size and grouping, 3) arrangement of physical space and free time, 4) allocation of resources, and 5) knowledge and skills. Human behavior speaks louder than words; thus, the principal can communicate instructional support by securing and providing uninterrupted instructional time. With the exception of extreme emergencies, once the instructional period has begun, neither the teachers nor the students should be called out of class, even if the interruption would require less than a few seconds! Wilson explains that effective principals should organize the class "schedule(s) so that teachers have no responsibility for lunch money collection, study hall, or other duties which would keep them away from their primary task of educating children" (29: 20).

Effective principals must be able to vary their leadership styles from "Task Oriented" to "People Oriented." They must show strong support for teachers by having high expectations, showing them how to stay on task, and demanding quality at all times. By the same token, effective principals should realize that teachers are human and, as such, their individual needs must be satisfied. This ability to play different roles, and yet maintain an air of "fair play" towards all concerned is an important element in becoming an effective principal.

A principal would fall short of being effective if s/he limited the friendly and supportive attitude to his/her teachers. The effective principal shares this attitude with all publics—the faculty, the staff, the clerks, fellow administrators and counselors, the students, and the community.

While evaluating a classroom teacher in a public school, a university professor granted excellent marks in all aspects of the lesson plan. However, the closing was far from adequate. The professor noticed that a "show" had just been put on for his benefit. At the end of the first grade lesson, all of the children ran up to the teacher, who was sitting in a small chair, and gave her a kiss and a hug. The teacher responded by hugging each child in turn. The scenario became ugly when a black child attempted to do the same thing as he ran up to her with both arms outstretched, waiting for his hug and kiss. The teacher's actions became less fluid as she attempted to act busy in an effort to overlook the black child's reaching arms. She hurriedly stood up and walked toward the evaluator with a big smile on her face, asking, "Well, how did I do?" In order to be an effective principal, a friendly and supportive climate must be provided for everyone, regardless of color, creed, or race.

The effective principal should recognize two things: 1) Life is like a mirror, and 2) the way a person looks at life is exactly the way it will look back at him/her. S/he should also understand the importance of attitude toward an issue and/or problem in arriving at a solution. A child left with his/her arms up in the air expecting equal treatment cannot possibly be in the best friendly and supportive environment.

A clean environment provides a frame of mind that dictates a corresponding acceptable and proper behavior. In like manner, the effective principal provides and maintains a proper environment which is conducive for learning by performing actions such as praising the custodians, enforcing a fair and firm discipline code, and controlling the physical space.

Research indicates that the principal is the individual responsible for a proper environment. Richard L. Andrews stated:

> Frankly, I never anticipated that we would find such a powerful relationship between leadership of the principal and student outcomes. After all, the principal is one step removed from the direct instructional process. But what we found is that teachers' perception of their work environment is so important, the power of the principal's leadership so pervasive, that it has a measurable impact on student learning (17: 16).

**Clean, Safe, Comfortable Environment.** Most people would not throw a candy wrapper on the floor inside a bank. Yet, the same people would not hesitate to throw that wrapper on the floor of a theater, which is carpeted with litter from the concession stand. In like manner, a school can be made conducive to learning by maintaining a clean building. The effective principal does not order a child to pick up a nearby candy wrapper that someone else has thrown on the floor. The effective principal sets an example for the child by picking up the wrapper and disposing of it in a trash can. High expectations on cleanliness start at the top. Leadership through role modeling is a recommended ingredient for students to follow in maintaining a clean environment.

In order to create a safe environment, the effective principal must have a strong disciplinary system that justly rewards expected behaviors and punishes unwanted behaviors. Yet, emphasis should be stressed on the former.

A comprehensive study made in 1984 by the Phi Delta

Kappa Commission on Discipline in schools with few, if any, discipline problems. After such research, "the Commission concluded that student self-discipline is the key to effective school communities" (3: 53).

A sense of school ownership, on the part of the students, is a prime factor in arriving at student self-discipline. According to William W. Wayson's *Handbook for Developing Schools with Good Discipline* the Commission identified the following five characteristics as needed for achieving student self-discipline:

1. Creating in students belongingness and responsibility.
2. Pursuing superordinate school goals.
3. Creating symbols of identity and excellence.
4. Fostering leadership to sustain positive school values.
5. Creating clear formal and informal rules. (30)

Three examples will be cited to sum up the importance of a clean, safe, comfortable environment.

An ex-aircraft mechanic stated that he would not take his automobile to be repaired by a mechanic if the latter's workshop was not clean. When asked why, he responded, "What you see is what you get." The food in a particular restaurant is exquisite, yet few customers enter its doors because they prefer not to eat with one eye on their plate and the other on their purse. The bingo game sponsored by the local Veterans of Foreign Wars had excellent prices, which attracted players throughout a one hundred mile radius. Yet, the attendance dropped, causing the games to cease. "How can you play," murmured an ex-player, "with children running all over, spilling drinks, and shouting in your ears?" Effective principals relate to these three incidents, since they know that a clean, safe, and comfortable environment is conducive to learning.

**Open Communications, Involvement.** Recent research reveals that earlier studies such as John Goodlad's *Study of Schooling* reached erroneous conclusions, stating that teachers in general did not want principals in their classrooms. Although this might be the case in a typical school, such is not true where effective principals have been identified (28: 13). An effective principal establishes open communications to let his/her teachers know s/he is interested in what is going on in the classroom. The effective principal becomes involved as an instructional leader and offers high visibility by being in the classroom during instructional time whenever possible.

In a conversation with Richard Andrews, Brandt asked:

> Let's be clear about this. You are saying that in schools with strong instructional leadership, individual student scores go up over time. (28:11)

Richard Andrews answered:

> That is correct. Remember that our characterization of these schools as "high profile" is based directly on teachers' perceptions of the quality of their workplace. We might say that where teachers have very positive perceptions of their workplace, they are more productive, so we see incremental growth in student achievement.
>
> We might think that extraneous variables, such as whether the school building is new or old, or whether the district spends $2,500 or $4,000 per pupil, would be the primary determinate. Those things may play a part, but what is far more important is the quality of the relationships with other human beings in that environment. And since the principal is in the best position to influence that, we would expect his or her leadership to be an important variable, and sure enough it is (28: 13).

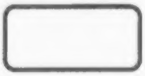
Thus, high involvement with the instructional program and open communications with the faculty and staff is another ingredient needed to become an effective principal.

**Coordination, Teamwork Among Teachers.** Drake and Roe write: "Unless the individual needs of staff members are linked with collective school goals, a school cannot be successful" (3: 20). Richard A. Gorton's chapter on conflict management expresses a similar thought (31: 96-97) as does Paula Silver's rendition of Getzel and Guba (32: 248-253). In fact, all experts are in agreement that achieving teamwork, in coordination with individual needs, is another ingredient in being an effective principal. The following suggestions are proposed for the effective principal:

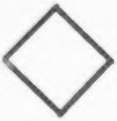
- assures that the teachers see themselves as a team with a mission and purpose.
- allows teachers to have control over their classroom management and instruction.
- coordinates class time so that teachers can observe each other in the classroom.
- encourages the sharing of materials and teaching techniques among teachers.
- expects teachers to participate in the decision making process concerning instruction, inservice training, curriculum revision, and other areas in which the teachers will be directly affected.
- encourages action research so that teachers can be creative.
- gives teachers constant feedback when and where needed.

The principal who coordinates his/her faculty, staff, students, and community into thinking and acting like a team will surely gain the status of an effective principal. The use of flow charting to explain an existing procedure or in formulating new procedures or programs could very well be used as a tool to obtain the team spirit.

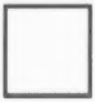
**Flow Charting for Best Results.** This procedure, which can also aid in the decision making process, was established by Dr. Jose Rodriguez in 1965 when he was a first year teacher in Olmito, Texas. The process utilizes existing symbols used in flow charting a computer program, expressed in layman's terms. The object is to divide the teachers into several small groups (five or six persons) to work on the same issue, problem, and/or procedure concurrently. Each group is asked to use the following symbols:



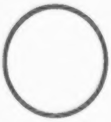
START and/or STOP



asks a question involving yes/no or open/close type of decision



any rectangle and/or square is used to provide information



"Go to" symbol: used when a line cannot be drawn without crossing an existing line

Flow charting an existing program or a new program required that the principal, or an assigned/elected group leader, outline the procedure on a chalkboard. In case of a new procedure, the leader should get the faculty to agree on a philosophy that will serve as the basis for developing the procedure. Neglecting to do this task is like building a house without a foundation.

Once the philosophy is established, the group is directed to route the sequence of events through a waterhose type of connecting activities, that can have loops within loops until the end of the hose is reached. In Figure A and B the teachers agreed that the main idea was to place the child back in the classroom so as to continue the instructional process. Note, too, that in Figure B there is a "No Administrative Action Taken" square. This could in itself alert the principal of some dissatisfaction.

The group leader draws the starting symbol and asks the group, "What is next?" Every time a symbol requiring a choice is drawn, the teachers are encouraged to ask "what if" type questions, which challenge the outcome. By playing the "devil's advocate" the teachers and the leader will soon arrive at what they feel is a logical flow of events.

A group secretary draws the agreed upon flow chart after all revisions are made. Most of the time the group will back up to correct what, at the time, seemed a logical flow, but which has changed in light of new knowledge.

Once each small group has its own flow chart, the principal and /or leader forms larger groups consisting of two or more of the original small groups. The procedure is again repeated until a new flow chart is generated by the newly formed, larger group.

These regroupings continue until all groups unite as one large group to formulate the finished flow chart. (In cases where there is an extremely large number of teachers, the principal and/or leader could suggest using chosen representatives from the smaller groups to form the total group.)

Again, "what if" kinds of questions are encouraged in an effort to prevent a problem in implementing the procedure. When finished, the flow chart will help the principal be a manger, as Hostrop says, rather than an administrator. Hostrop believes that administrators should become managers by using a systems approach in "designing, organizing, and managing the operation and interaction of personnel, media, and facilities so as to attain specific measurable results, and in terms of specific constraints and priorities" (23: 19).

Flow charting for best results is a systematic approach that allows affected personnel to have input in the developing phases of a new procedure and/or the illustration of an existing procedures and/or program. Once done, the flow chart can be scru-

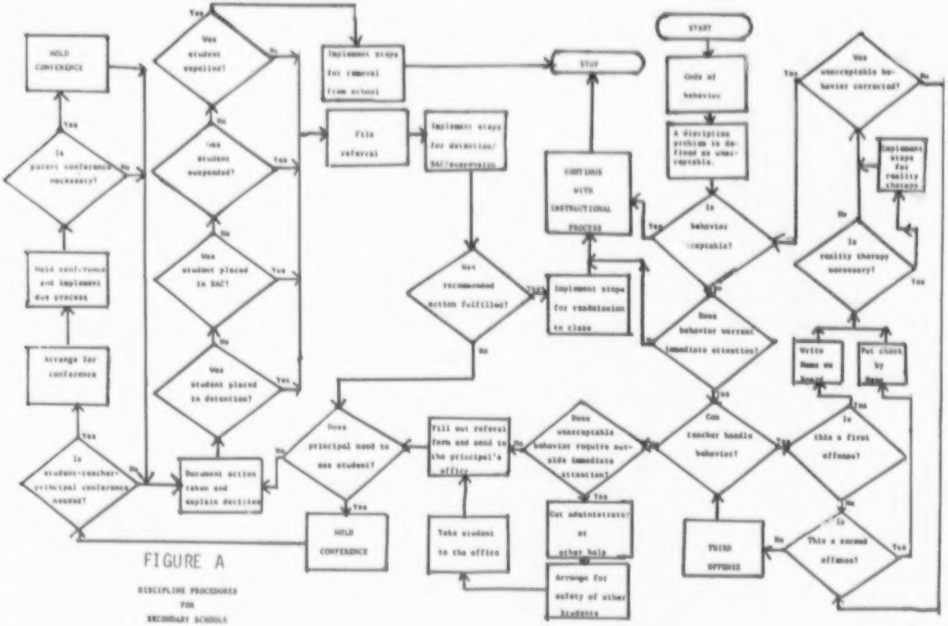

START
Code of behavior
A discipline problem is defined as unacceptable.
Is behavior acceptable?
Yes
No
CONTINUE WITH INSTRUCTIONAL PROCESS
STOP
Does behavior warrant immediate attention?
Yes
No
Implement steps for readmission to class
Can teacher handle behavior?
Yes
No
Is this a first offense?
Yes
No
Is this a second offense?
Yes
No
THIRD OFFENSE
Write Name on Board
Put check by Name
Is reality therapy necessary?
Yes
No
Implement steps for reality therapy
Was unacceptable behavior corrected?
Yes
No
Does unacceptable behavior require outside immediate attention?
Yes
No
Get administrator or other help
Arrange for safety of other Students
Take student to the office
Fill out referal form and send to the principal's office
Does principal need to see student?
Yes
No
HOLD CONFERENCE
Document action taken and explain decision
Was student placed in detention?
Was student placed in SAC?
Was student suspended?
Was student expelled?
Yes
No
Implement steps for removal from school
File referral
Implement steps for detention/SAC/suspension
Was recommended action fulfilled?
Yes
No
Is student-teacher-principal conference needed?
Yes
No
Arrange for conference
Hold conference and implement due process
Is parent conference necessary?
Yes
No
HOLD CONFERENCE

FIGURE A

DISCIPLINE PROCEDURES
FOR
SECONDARY SCHOOLS

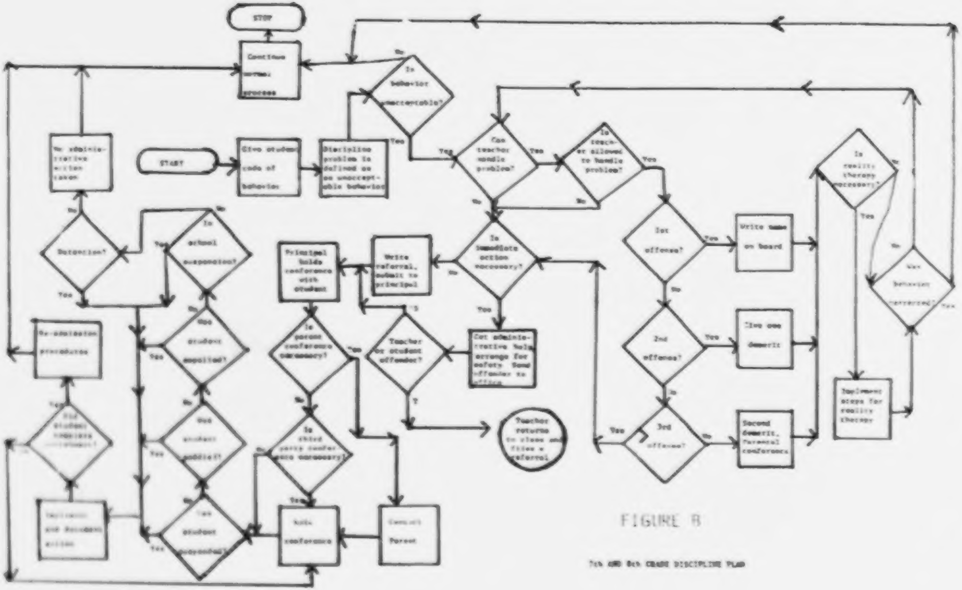

STOP
Continue normal process
START
Give student code of behavior
Discipline problem is defined as an unacceptable behavior
Is behavior unacceptable?
No
Yes
Can teacher handle problem?
Yes
No
Is teacher allowed to handle problem?
Yes
No
1st offense?
Yes
No
Write name on board
2nd offense?
Yes
No
Give one demerit
3rd offense?
Yes
No
Second demerit, Parental conference
Is reality therapy necessary?
Yes
No
Implement steps for reality therapy
Was behavior corrected?
Yes
No
Is immediate action necessary?
Yes
No
Write referral, submit to principal
Get administrative help; arrange for safety. Send offender to office
Teacher or student offender?
T
S
Teacher returns to class and files a referral
Principal holds conference with student
Is parent conference necessary?
Yes
No
Is third party conference necessary?
Yes
No
Contact Parent
Hold conference
Is school suspension?
Yes
No
Detention?
Yes
No
No administrative action taken
Was student expelled?
Yes
No
Was student paddled?
Yes
No
Was student suspended?
Yes
No
Implement and document action
Did student complete
Yes
No
Re-admission procedures

FIGURE 8

7th AND 8th GRADE DISCIPLINE PLAN

tinized by looking for flaws in the regular flow and asking more "what if" questions until all possible outcomes are covered.

This procedure has proven itself over the years as an aid to clarify, explain, and/or develop new programs and/or procedures. Through its proper use, a principal can gain the respect needed to become an effective principal since s/he showed trust in his/her teachers by allowing their involvement.

**One Final Word.** The research of the literature shows vacillation from one extreme to the other. Conformity on what is an effective school seems to be missing, although the majority agree with Cohen who states:

> A number of Effective Schools studies suggest that differences in effectiveness among schools, defined in terms of student performance on tests of basic skills, can be accounted for by the following five factors:
>
> - Strong administrative leadership by the school principal, especially in regard to instructional matters;
> - A school climate conducive to learning; i.e., a safe and orderly school free of discipline and vandalism problems;
> - School-wide emphasis on basic skills instruction, which entails agreement among the professional staff that instruction in the basic skills is the primary goal of the school;
> - Teacher expectations that students can reach high levels of achievement, regardless of pupil background; and
> - A system for monitoring and assessing pupil performance which is tied to instructional objectives (33: 15).

Yet, in all the research cited in this chapter, the main ingredient in what makes an effective principal was omitted. That ingredient is probably left out since it is a construct (as anger, disgust, love) which cannot be accurately measured.

You, as the reader, are now asked to picture in your mind your own son or daughter running up to you with arms outstretched, waiting for a kiss and a hug, and you turning your back, ignoring his/her need to be accepted, appreciated, and loved. Then, imagine how your action would affect your child if you and others continuously refuse to respond to his/her plea for acceptance.

If you understand this message, then you, too, have the makings of an Effective Principal.

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## Ten

# The Effective Assistant Principal

by

**Burnis Hall**

The assistant principal (other appellations for this role are vice-principal, associate principal, and dean of students) is an active and important role in school administration, yet the position is obscure in the constellation of educational administration. The time has arrived when the traditional role of assistant principal must be defined and reconceived as a position parallel to the principalship itself but with responsibilities in specialized areas for the schools of the 1980s and 1990s. The role should facilitate the recognition of changing values of society as reflected in new and sometimes required "school effectiveness" programs, declining pupil enrollment, reduced financial support and increased community influence. The new position should carry with it the power of decision making in the form of authority from the school board and possible certification from the state which reflects specialized university training. The object of this chapter is to consider the assistant principalship primarily in the secondary school setting and from two vantage points: 1) traditional duties and responsibilities as an effective disciplinarian, and 2) the role as instructional leader and facilitator.

In general, all comprehensive public middle and secondary schools in the United States with enrollments of 600 or more students include a full-time administrative position, subordinate to the principal, usually titled assistant principal or vice-principal. The number of assistant principals in a given school depend on an array of variables. Among the variables that affect the number of assistant principals employed are: wealth of the school district, the nature of the program of studies, the physical makeup of the building(s), the size of the student body, availability of youth agencies in the community, and other factors, all of which add to the complexity of the administration of the school. The need for assistants to the principal in large schools is recognized by such accrediting agencies as the North Central Association of Colleges and Secondary Schools. North Central now requires member schools with 600 students and above to have at least one full-time administrative assistant (19: 59-84). The trend, in adherence to the North Central Association ratio, is one assistant for every 600 students.

## What is the Role of the Assistant Principal?

In its obscurity, the role of the assistant principal is characterized variously, though poorly defined. It has been called "hatchet man," "activity coordinator," "handy man," "fire fighter," "policeman," and "father confessor" (10: 12-14; 12: 112-113; 18: 59-84; 21: 63-69; 23: 70-71). Such descriptions suggest the ambiguity of the role and reflects substantial differences in activities associated with the position.

Objectively, the assistant principal is generally acknowledged to be an important actor in the school scene despite, notwithstanding the rather limited attention given to that role by researchers, preparation programs, and even professional associations. Few studies exist which examine the assistant principal's role. Furthermore, a dearth of attention has been given to that role or to its relationship to the roles of principal, teacher, or department head. Neither have educators questioned or systematically examined the role of the assistant principal vis-a-vis supervision and management of instruction.

The role of assistant principal is of interest to prospective and practicing administrators for several reasons. From a career development perspective, the assistant principal role often serves as a transition role for individuals moving from classroom teaching to school administration. What is learned in this transitional role and what are the implications of the position as preparation for the principalship? From an administrative perspective, what organizational functions appear to be served by the assistant principal role? In what ways do these functions serve the interests of teachers and school principals, and are there critical functions that could be attached to the role but are not? From the vantage point of concerns about individual and organizational effectiveness, efficiency, and productivity, is the generalist orientation characterizing the role more appropriate than a more specialized orientation? What are the consequences of the role of the incumbent in terms of satisfaction, stress, and level of engagement? What are the consequences of the role for the organization at large in terms of decision making, communication, coordination, and monitoring of activities, or in terms of linking and adapting or responding to external constraints and conditions?

This chapter provides an initial framework for answering these questions through examination of the existing literature about assistant principals, and by describing current and emerging duties and responsibilities of assistant principals.

**What Does the Literature Tell Us?** Over the past six decades many aspects of the assistant principalship and personal characteristics of assistant principals have been investigated by numerous researchers. The existence and distribution of the position of assistant principal has been studied (Austin & Brown, 1970; Brandes, 1949). Personal characteristics of assistant principals have been investigated (Long, 1957; Martin, 1958). The qualities of the role of assistant principals have been conducted (Garawaski, 1978; Kindsvatter and Tosi, 1971). Research regarding the career characteristics of the individuals who have been or are assistant principals has been reported (Brown & Rentschler, 1973; Marshall, 1979).

Most of the research has been normative, asking assistant principals and others merely to share perceptions regarding various duties, functions and responsibilities. Student discipline and the associated activities of monitoring and maintaining order are invariably given by respondents; the studies for the most part are status reports, and few are designed to reveal potentially instructive differences or similarities in perceptions among various groups of respondents. Although several studies examined variables such as consideration, initiating structure, climate, and satisfaction, they were not aimed at developing theory nor were they designed such that the results might be instructive regarding some dimension of the role or behavior of the effective assistant principal.

The most informative studies focused on some aspect of the career and organizational socialization of the assistant principal. Although these studies were limited in scope and, with one exception, examined only a small number of subjects within a limited time frame, they were illuminative of the social dynamics of being and/or becoming an assistant principal. The research of Austin & Brown (1) is by far the most comprehensive and useful as a basic guide to understanding the role of the assistant principal. This investigation consisted of three sub-studies; a normative study, a career study, and a shadow study. The normative study collected responses to four basic questions about 59 administrative tasks from 1,207 high school principals and 1,127 assistant principals in seven regions of the country, and included schools representing six different enrollment classifications ranging from 500-750 to 2,500 plus. Analysis of the data indicated that:

1. The assistant principal was involved in almost everything;
2. as groups, principals and assistant principals were equally diverse in their viewpoints regarding responsibilities, importance of duties, and the discretion associated with all 59 task areas;
3. there was a great deal of variation across schools regarding the responsibility, importance, and discretion associated with all 59 task areas;
4. the assistant principal was rarely assigned "full" responsibility for executing the duties in the 59 task areas;
5. work having to do with community relations and student activities was viewed as less important than work in the other task areas;

6. most principals believed that most assignments given to the assistant principal did not allow for or permit high-level discretionary behavior; and
7. principals more so than assistant principals held positive perceptions of the importance of the role of the assistant principal.

The "shadow study" involved one-week observations of 18 assistant principals from representative locations and types of schools. The conclusions of the researchers who recorded every event observed for five days and who interviewed students and staff were consistent regardless of region or size of school. That is:

> ...the assistant held things together; he was the man who was the operational leader on an hour-to-hour basis....Beneath all the trivia there is an important fact lurking—the assistant principal is the man that makes the school go. He is the one who plugs the gaps wherever they are and sees that things get done. The principal is the figurehead who can communicate upward. The assistant principal is the link with the outside. He is, incidentally, the link to the principal for most teachers (1).

Although the results of the "shadow study" were limited in their generalizability, the observations provided helpful insights into the social order and day-to-day school operations. The Austin and Brown Study revealed ways in which different organizational conditions were managed, how principals influence assistant principals under such conditions (or vice versa), and the impact of organizational structured and processes on the work of assistant principals.

The final phase of the Austin and Brown project was a "career study" of the occupational mobility of assistant principals based on a sample of 419 former assistant principals. Analysis of the data revealed that a majority of assistant principals did not stay with the job for an extended period of time. Drawing upon Super's framework the researchers examined the pattern of entry and departure across urban, suburban, and non-Standard

Metropolitan Statistical Area (non-SMSA) districts. (22) Three noteworthy patterns were identified: 56% of the urban respondents reported a late entry (11 or more years teaching experience before the first assistant principalship) and an average departure (4 to 10 years as an assistant principal before moving to a position of greater responsibility). The characteristics of the early entry/early departure group revealed that all were men, 80% were 44 or younger in 1970, two-thirds had doctorates or at least 45 hours of study beyond the master's degree, and that there was a relative lack of mobility between urban, suburban, and exurban career tracks (this was especially true of minority respondents). The rapidly mobile assistant principals reported somewhat more often than others that "they thought educational administration would provide them with opportunities to use special abilities and aptitudes, to be creative, and to excercise leadership. And they were somewhat less likely than others to stress the significance of salary, status and prestige, security, and a pleasant working schedule" (1). The researchers found that salary, a "foot in the door" of administration, and the desire for a chance to exert leadership provided impetus for seeking the position. Although only one-fourth of the men intended to make the assistant principalship a career position, half of the women reported their intention to be career assistant principals.

This brief summary of the research on the assistant principalship leads to several general conclusions. Although administrative tasks and their relative importance have probably changed somewhat in the past 30 years, the basic issues of 1) what assistant principals do; 2) under what conditions; and 3) what impact they have remain to be examined in depth. Further study of these and other ideas promises the possibility of developing a useful body of knowledge and of providing practitioners a better understanding of the role of the assistant principal and possible career paths.

**What are the Duties and Responsibilities of Assistant Principals?** An early study of secondary school assistant principals completed in 1926 involving 52 Ohio communities reported their main responsibilities concerned clerical duties and supervision of extra-curricular activities (25). By 1946, studies performed in Wisconsin and Minneapolis reported increased responsibilities. Most of the assistant principal's time was accounted for by pupil accounting (attendance), curriculum (scheduling), school control (discipline), public relations (meeting with parents) and improving instruction (visiting new and problem teachers) ( 3-11).

A study performed in the state of New York in 1957 reported changing responsibilities. Assistant principals listed their duties in order of importance: principal in absentia; teacher complaints; discipline; school control (scheduling); mechanical procedures for operating the school (13: 26-37). Although this sample taken in an Eastern state may not be representative of the United States as a whole, it identifies for the first time an involvement of assistant principals with teachers, albeit dealing with their complaints.

When these same assistant principals were asked to list the duties they considered important, the order and content was somewhat changed. They reported: principal in absentia; analyze curricular needs; pupil discipline; teacher complaints/staff meeting with teachers; teacher-pupil relations. Here clearly, an interest is expressed in activities different than those assigned, including an emphasis on curriculum and relations with teachers other than receiving complaints from them.

By 1973, secondary assistant principals saw further changes in their responsibilities. Reported in order of importance were: 1) discipline; 2) teacher evaluation; 3) attendance; 4) curriculum development and staff leadership; 5) student activities; 6) community relations (6). Items 2, 4, and 6 moved the assistant principal's role closer to that of the principal and away from the maintenance function described over the preceding 50 years. In the last decade, the duties and responsibilities of assistant principals has been modified, to a limited extent, by effective teacher associations/unions and anxious school boards searching for the proper mix of educational accountability. As a result, the responsibilities of assistant principals vary greatly according to their particular building assignment: the basic philosophy of the school; the type of community served; and the expectations of parents and students. The following list of responsibilities is indicative of task expectations for assistant principals of the 1990s (see Table 1 that follows). This list is by no means all-inclusive, nor does it represent all sections of the nation. However, an attempt has been made to identify the areas of particular responsibility and to list the various duties performed, either daily or at some time during the school year by secondary assistant principals.

Table 1

### Major Functions and Responsibilities of the Assistant Principal

1.0 Supervise student conduct within the school and oversee disciplinary procedures, keeping records of any disciplinary action.

- 1.1 Work with students who are disciplinary problems and take appropriate disciplinary action, including recommendations regarding suspension and expulsion.
- 1.2 Keep parents and staff informed regarding disciplinary and/or behavior problems.
- 1.3 Maintain appropriate records of student behavior and disciplinary action.
- 1.4 Assist staff members in resolving student behavior problems.
- 1.5 Inform students, parents, and staff of their rights and responsibilities.
- 1.6 Attend, as required, hearings regarding student discipline.
- 1.7 Conference with parents, students, and teachers regarding student discipline.
- 1.8 Serve on building or district committees which develop and revise disciplinary policies and procedures.

2.0 Plan and supervise implementation of co-curricular activities within the school.

2.1 Advise the student government organization.
2.2 Develop with students and staff the comprehensive budget plan for the entire activity program.
2.3 Manage and supervise or provide for the proper supervision of all student activities, including fund-raising, social, athletic, and performing groups' events.
2.4 Work with students and staff to see that proper planning has been done which will assure reasonable expectations of success for scheduled events.
2.5 Supervise the receipt, disbursement, accounting, and auditing of student body program funds.
2.6 Develop and maintain the school co-curricular activity calendar.
2.7 Schedule the use of building facilities for co-curricular activity purposes.
2.8 Schedule and supervise school assemblies.
2.9 Give daily oral announcements and work with staff in developing the daily bulletin.
2.10 Coordinate picture taking (individual and group) for student records, yearbook, and student purchase.

3.0 Administer laws, regulations, and policies for student attendance.

3.1 Inform students, teachers, parents of regulations regarding attendance.
3.2 Report students' attendance to parents.
3.3 Counsel students regarding attendance.
3.4 Monitor and maintain records of individual student attendance.
3.5 Report attendance counts to the district office for state reports.
3.6 Work with the district attendance office to resolve attendance problems.
3.7 Conference with parents, students, and teachers regarding student attendance.
3.8 Serve on building or district committees which develop and revise attendance policies and procedures.

4.0 Supervise curriculum planning and instruction in specific areas as delegated by the principal.
  4.1 Work on special curriculum projects with various departments as assigned by the principal.
  4.2 Assess and evaluate current curriculum programs as assigned by the principal.
  4.3 Suggest curriculum improvements or needs for evaluation of current programs to the principal.
  4.4 Work with various departments for general coordination and suggest purposes as assigned by the principal.
  4.5 Participate in the supervision of instruction as assigned by the principal.

5.0 Participate in requisitioning supplies and equipment, conducting inventories, maintaining records, and checking receipts.
  5.1 Direct textbook distribution and maintain inventory.
  5.2 Maintain records of school keys and their distribution.
  5.3 Supervise the maintenance of athletic equipment records and inventories.
  5.4 Assure the maintenance of school towel inventories.
  5.5 Order textbooks and other paper material to facilitate instruction in the classroom.
  5.6 Provide up-to-date order catalogues for staff use.
  5.7 Submit annual inventory reports to the business office and as requested.

6.0 Coordinate transportation, custodial, cafeteria, and other support services.
  6.1 Submit field trip requests and verify athletic transportation needs.
  6.2 Inform parents and students of transportation routes and schedules and seek to solve problems as they arise.
  6.3 Coordinate requests for custodial service needs of staff and students.
  6.4 Communicate special needs and concerns to the cafeteria manager.
  6.5 Assist with the supervision of the cafeteria.

  6.6 Arrange building lunch schedule to maintain a balanced load.
  6.7 Work to maintain positive relationships between staff and support personnel.
  6.8 Assist with the coordination of health services.
  6.9 Assist in the development and management of student schedules and changes.

7.0 Assist in overseeing the maintenance, use, and security of buildings and grounds and recommend to the principal ways for better utilization in serving the educational needs of students, staff, and community.

  7.1 Submit requests for repair of building equipment and the correction of hazardous situations.
  7.2 Prepare and submit requests for improvements to the physical plant.
  7.3 Develop and maintain methods and procedures for the safe and efficient use of the parking lots.
  7.4 Coordinate the use of building facilities by community groups and maintain the building use calendar.
  7.5 Make room assignments to staff which best serve the educational program.

8.0 Conduct fire and civil defense drills and establish and revise emergency building evacuation procedures.

  8.1 Cooperate with the fire department and other agencies in conducting safety inspections.
  8.2 Keep records of fire drills and correct problems that may arise.
  8.3 Develop and distribute maps and regulations for evacuation procedures.

9.0 Assist with the preparation of reports and records required or appropriate to the efficient operation of the school.

  9.1 Supervise completion of reports pertaining to attendance, discipline, and athletics.
  9.2 Assist in the completion of the annual state and accreditation reports.

- 9.3 Assist or supervise the completion of other reports as assigned by the principal.
- 9.4 Assist in the development and maintenance of student records storage and retrieval systems.

10.0 Assist the principal with staff selection, evaluation, and assignments.

- 10.1 Assist in the scheduling of classes and the development of master schedules.
- 10.2 Interview prospective candidates for staff positions when so assigned.
- 10.3 Assist the principal in the assignment of staff members to teaching and activity assignments.
- 10.4 Assist the principal in the supervision and evaluation of teachers in curriculum areas assigned to assistant principals.

11.0 Assist the principal with the preparation of the school's budgetary requests and monitoring the expenditure of funds.

- 11.1 Work with staff members to submit needs in areas of the budget assigned to the assistant principal.
- 11.2 Assist in ordering and monitoring expenditures in areas of the budget assigned to the assistant principal.

12. Assist in the preparation of the student and faculty handbooks.

- 12.1 Work with staff and appropriate student teams in annually reviewing and developing written procedures and goals for program maintenance and improvement.
- 12.2 Provide for efficient procedures for collecting and organizing pertinent information.
- 12.3 Assist in the preparation and distribution of the student and faculty handbooks.

13.0 Keep abreast of changes and developments in the profession.

- 13.1 Attend local, state, and national professional conferences.

13.2 Read professional journals.
13.3 Keep abreast of changes in local, state, and national policy regarding students, teachers, and administrators.
13.4 Attend various in-district conferences as directed by the superintendent.

14.0 Perform such tasks and assume such responsibilities as the principal may assign.
14.1 Serve as principal in absence of the principal.
14.2 Assist the principal in conducting staff meetings.
14.3 Attend district principals' meetings as are required or appropriate.
14.4 Act for the principal in areas of responsibility to which the assistant principal is assigned.
14.5 Assist the principal with parent organizations as assigned.
14.6 Assist with the planning and coordination of evening meetings, e.g., open house, student orientations, commencement.

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In large comprehensive high schools the division of major concerns between two or more assistants depend upon their abilities and interests as they complement those of the principal. There is no hard and fast aligning of responsibilities. A frequently cited alignment in secondary schools with two assistants include the titles: 1) assistant principal—pupil personnel services, and 2) assistant principal—staff organization and management.

But the specific duties of the assistant principal along with the responsibility s/he is given and the amount of authority allowed to be excercised will in all probability be spelled out by the principal. It is the principal's view of the assistant principalship that determines what the assistant principal does and, to a degree, how he does it. There are very few areas in which the assistant has free reign to make his/her own decisions and, even those areas, s/he must be constantly aware of the overall goals and priorities that the principal has set forth for the school.

In most areas, the authority of the assistant principal is limited, even though s/he may have direct responsibility for the planning and execution of a given course of action. Ultimate responsibility, of course, remains with the principal, and s/he must be kept informed and given final say on all major decisions for which s/he will later be held accountable. This is only logical from the standpoint of the principal, but it places the assistant principal in the position of occasionally needing to make a quick decision that others expect him/her to make, but being unable to do so without at least "touching base" with the principal. Often, this is much easier said than done.

**How Much Time Do Assistant Principals Spend Doing Their Chores?** The assistant principals interviewed in the Austin and Brown Study (1) had been assigned different duties, depending on whether the school was a junior or senior high school. Senior high school assistant principals spend 30-49 percent of their time on discipline, 20 percent on teacher supervision, and 40 percent on curriculum coordination.

Those in junior high schools spend 85 percent of their time on discipline, hall duty, cafeteria duty, and as one assistant principal so candidly stated "policing" the building. The remaining 15 percent is spent on issuing bus and lunch tickets, holding conferences with parents, and completing reports. All respondents spend 15 to 20 minutes per student in disciplinary types of conferences. Each person interviewed commented that very little time was left for the instructional program, although each was assigned to work with specific curriculum departments in the school.

**What Should be the Educational Background of the Effective Assistant Principal?** Assuming that assistant principals are first and foremost educators, it follows that their training will be in education. In-depth study in educational administration, philosophy, psychology, history, measurement and evaluation, and sociology will give the future assistant principal the necessary foundations from which to build his/her role in the educational process. S/he must also know the "nuts and bolts" of the role, such as business management, finance, organizational development, staff development, curriculum, legal aspects, and scheduling.

This is only the beginning of a never-ending process. The assistant principal must have a built-in life style self-correcting device for personal and professional growth to become the educational leader we need.

University Council for Educational Administration (UCEA) sponsored simulation excercises, readily available on today's market,to help develop needed skills in a relatively safe way. In addition, the NASSP sponsored internship programs and assessment centers are being integrated into administrator training programs at most major educational institutions. While the success of internships and assessment centers vary from situation to situation and intern to intern, in the vast majority of cases the feedback is highly favorable. They appear to be our strongest bridges between theory and practice. This is where the practitioner (i.e., the principal or assistant principal), the theorist and the aspiring educational leader support each other in the training process.

**What Are the Activities (Daily, Weekly, Intermittent) of the Assistant Principal as an Effective Disciplinarian?** In many secondary schools, student discipline is the assistant principals most important responsibility. For the effective assistant principal, discipline involves more than just reprimanding students and dispensing punishments. It means knowing what is going on in his/her school, particularly when students are not in classes. To find out what is going on, the assistant principal patrols his/her building during the times of the day when problems are most likely to occur (i. e., before school, during breaks and lunch) and in places where problems are likely to occur (e. g., behind buildings and in certain restrooms). Furthermore, the assistant principal keeps an eye on students who are likely to be at the center of problems. The assistant principal's behavior is guided by the belief that if s/he patrols his/her building(s), s/he will be able to deal with problems before they get out of hand.

When student problems occur, the assistant principal acts swiftly. For minor problems, verbal commands are usually all that is necessary to remedy a situation. Students involved in more serious problems are sent immediately to the office. When very serious problems occur, the students involved are escorted immediately by the assistant principal to his/her office.

The assistant principal attempts to deal with student problems using his/her own personal presence involving different images. High visibility in the school building is the main form of presence. The images include what Reed and Himmler (18) refer to as being a "policeman" and a "father confessor." In the police image, the assistant principal commands, warns, threatens, and humiliates. In the father confessor image, the assistant principal listens and empathizes when students confess and apologize. Only when his/her presence and images prove ineffective does the assistant principal use formal punishment.

Getting out into the building and being visible also has a more pleasant side for the assistant principal. It provides him/her an opportunity to visit and speak with students informally, not necessarily in the role of school disciplinarian. For example, when problem students are not in trouble, the assistant principal makes a point of dealing with them in a cordial and friendly way. Being visible around the school building(s) requires that the assistant principal be present at most traditional gatherings and ceremonies, such as pep rallies and school dances. Hence, his/her presence at and participation in these events allows him/her to present an image other than those of policeman and father confessor.

As mentioned earlier in this chapter, the assistant principal has other assignments in addition to student discipline. These responsibilities are important; yet patrolling, disciplining, and responding to a variety of other problems and emergencies all take precedence over other assignments. The work associated with master schedules, student activities, and athletic direction is typically sandwiched in among activities associated with student discipline or delayed to time when students are not in the building.

The work of the assistant principal, primarily discipline, is physically and emotionally taxing. It is physically demanding because of the necessity to be constantly on the move most of the school day. It is emotionally draining because of the continuing exposure to problems that may not have immediate solutions.

**What is the Role of the Assistant Principal in Maintaining Organizational Stability?** In most secondary schools in general, organizational stability is viewed as problematical and is maintained through three related administrative activities. The first is "monitoring" (26) the school and its immediate environment for indications that the organizational regularity (as embodied in and manifested through the master schedule) and the values (as embodied in and manifested through the activity calendar) prevail. The second activity is "supporting" (8) situations that are interpreted as reinforcing the organizational regularity and/or promoting organizational values. The third and final activity is "remediating" (8) situations interpre-ted as upsetting organizational regularity and/or threatening organizational values. Collectively, these three activities are referred to by school administrators as the task of "supervision" (17): the supervision of the buildings and grounds, the supervision of teachers and staff, and the supervision of students.

Although the establishment of the master schedule and the development of the activity calendar (and other related activities) are important tasks associated with the assistant principalship, they are not the focus of the assistant principals' attention during the school day when students are present. What commands and demands the attention of the assistant principal are the three related activities that have been referred to as "supervision." The assistant principal spends the vast majority of his/her time and attention during the working day on supervision.

Most assistant principals' supervision of students focuses on the conduct of students when they are not under the direct supervision of teachers. The assistant principal regularly supervises students before school, during passing periods, breaks and lunch, and after school. The same is true during school assemblies, pep rallies, athletic events, school dances, and other large gatherings of students during and after school hours.

Although the assistant principal typically does not supervise students while under the direct supervision of teachers, s/he does respond to referrals from teachers and other staff regarding student class conduct. Referrals include such things as "disrupting a class" and "profanity in class."

In addition to and while supervising student conduct, the assistant principal supervises a range of other aspects of the school that might upset regularity and/or threaten values. Some of these include general supervision of buildings and grounds for appropriate functioning of systems, physical hazards, and unauthorized persons on campus.

**How Does the Assistant Principal Monitor Student Behavior?** A key element in supervision is monitoring. The assistant principal monitors by continually surveying his/her school for indications that organizational regularity and values prevail. Most surveying involves looking for signs that student conduct complies with organizational regularity and conforms with the values of the school.

Monitoring poses problems for the assistant principal. Individual student conduct in a group of 1,000 + students does not stand out very much. Additionally, the size of the campus, and arrangement and configuration of the buildings make viewing very many students at any one time nearly impossible. Furthermore, the interpretation of student conduct as appropriate is sometimes difficult. For example, the distinction between horseplay and hazing among boys is not always clear.

In spite of the conditions that make monitoring difficult, the assistant principal nonetheless must relay primarily on direct personal observation. The effective assistant principal locates him/herself and engages in activities that facilitates direct personal observations. The assistant principal's personal office is located, where possible, to facilitate continuous monitoring of student activities. The assistant principal extends his/her surveillance of student conduct beyond his/her office by regularly patrolling the buildings and grounds. That is, the assistant principal has a more or less regular beat that takes him around the campus to places and at times where student misconduct has a high probability of occurring.

The assistant principal uses devices to improve the efficiency and to extend the range of monitoring activities. Typically, the assistant principal has telephones in his/her office that connect him/her to various locations beyond the central office complex. Teachers, staff, and others are encourged to telephone the assistant principal when problems arise…as they surely will. In large comprehensive secondary schools, walkie-talkies are used to connect the assistant principal with other administrators and security personnel.

The past experiences of the assistant principal as "assistant principal" allows him/her to assess the general probability of appropriate student conduct or misconduct for his/her school. The assistant principal adjusts his/her monitoring activities around these probabilities. S/he knows that at certain times of the day, certain days of the week, certain weeks of the year, and in certain locations and situations, there are relatively high probabilities of student misconduct. Yet, the assistant principal also knows from past experience that they will not be able to predict with much certainty when misconduct will occur, or who or what will be involved.

Although monitoring is usually conducted by the assistant principal through direct personal observation, the assistant principal also relies upon other means. Most secondary schools have a "referral" system. Teachers refer students and other problems to the assistant principal verbally and in writing.

Similarly, the assistant principal relies upon a number of informants, including counselors, other administrators, parents, and students to provide him/her with indications that organizational stability prevails or is problematical.

Considering the extensive and intensive monitoring activities of the assistant principal, it is not unexpected that s/he is regarded, at least by students, as the administrator who knows what is going on in the school.

**Can the Assistant Principal Supervise and Support Student Behavior Simultaneously?** Although the assistant principal finds his/her time and resources limited, s/he regularly and continually supports the organization of his/her school by engaging in activities believed to reinforce organizational regularity and promote organizational values. Typical supporting activities include attending and enthusiastically participating in a variety of traditional school events; for example, wearing a T-shirt on "Crazy T-Shirt Day," or assisting individuals or small groups of students to prepare for and participate in school activities.

In his/her office and while on patrol the assistant principal encounters numerous students. S/he knows many of these students by name. It is not uncommon for the assistant principal to stop and talk briefly with students s/he knows. The conversation usually centers on the students' participation in athletics, school activities, or personal hobbies. His/her conversations have an enthusiastic person-to-person character. Through these types of conversations, the assistant principal lets students know that they are worthy individuals and, as such, are participating in the school in an appropriate manner.

Not only does the assistant principal support appropriate conduct through personal encounters, s/he also encourages exemplary conduct. For example, the assistant principal occasionally encourages certain students to run for student body offices. This type of encouragement informs students that their exemplary conduct has not gone unnoticed—that they possess leadership potential, that they are valued persons.

With respect to large groups, the assistant principal supports student conduct by participating in pep rallies, wearing school colors and buttons, conferring awards at athletic banquets or announcing names of graduates at graduation ceremonies. S/he also participates in other activities in a less direct and more impersonal way. For example, s/he schedules or allows to be scheduled those activities on the activity calendar that s/he views as supporting appropriate student conduct. Additionally, s/he may single-handedly manage and coordinate certain of these events, adjusting bell schedules, reserving auditoriums or gymnasiums, securing public address systems, and the like.

Considering the range of activities in which the assistant principal engages in supporting the regularity and values of the school, it is not surprising that it is the assistant principal from the students' perspective, who must be "seen" to get things done.

**What is the Role of the Assistant Principal in Remediating Student Behavior?** As noted earlier in this chapter, remediation involves those activities that are believed to transform situations viewed as upsetting regularity and/or threatening organizational values. For the assistant principal, remediation involves those activities believed to transform student misconduct into compliance and conformance with the values of the school.

The term assistant principals use for describing most student misconduct is "disruption." The term they use for describing the full range of activities they employ for remediating student disruptions is "discipline." Discipline covers a broad range of student disruptions ranging from the minor to the very serious. In most schools, disruptions are generally categorized as: 1) minor disruptions; 2) not very serious disruptions; 3) serious disruptions; and 4) very serious disruptions.

"Minor disruptions" include, for example, situations where students leave lunch trays on cafeteria tables, return to class slowly after a school assembly or kissing on campus. There are few, if any, formal school rules that address these situations.

There are two types of "not very serious disruptions." One type centers on isolated personal conduct; the other is concerned with personal conduct in social situations. The first type includes, for example, situations in which a student is late for class (tardiness), does not attend class (cutting), or is truant from school (skipping). The second type includes situations where a student disrupts a class, or is inappropriately dressed, or where students are displaying an over amount of affection.

These activities are viewed as upsetting the regularity and/or threatening the values of the school. Personal punctuality and attendance issues upset personal regularity; grooming issues threaten school values; and class disruptions involve both regularity and values. Schools tend to have student codes of conduct to address "not very serious disruptions."

With few exceptions, "serious disruptions" involve the personal conduct of students in social situations. When a situation involves a student and an adult, it is considered more serious than if it involves only students. For example, a student threatening a teacher is considered more serious than a student harassing another student. Forgery, smoking, gambling, profanity, defiance of authority, fighting, extortion of money from another student, using or selling drugs, and threatening a teacher are examples of serious disruptions.

"Very serious disruptions," with few exceptions, involve personal conduct of student in social situations where both students and adults are present. A student "mooning" at a school assembly is an example. "Very serious disruptions" occur infrequently and typically are addressed in the student's code of conduct, and they tend to be handled on a case-by-case basis.

Although schools are known for their numerous rules regarding student conduct, the number of rules is relatively small when compared to all possible conduct that could vary from school regularity or deviate from school values. It is important to note that the assistant principal not only responds to disruptions that are formalized in terms of school rules, but s/he also responds to a host of variations and deviations that are not addressed in formal school rules.

The assistant principal finds disciplining students involved in disruptive conduct not particularly pleasant and also somewhat difficult. Discipline is not pleasant because it typically involves challenging, angry, or hostile students (and sometimes teachers and parents as well). It is difficult because the assistant principal has only moderately effective resources available to transform student misconduct; that is to say, to discipline students.

The effective assistant principal relies on two types of resources in disciplining students. These include organizational sanctions associated with formal rules and/or his/her own personal presence. Typically, organizational sanctions include:

1. Contacting a student's parent(s).
2. Assigning a student "extra work."
3. Suspending a student.
4. Holding a "conference" with a student's parent(s); and
5. Expelling a student from school.

Physical punishment is deemed inappropriate for high school students and rarely is used in middle and junior high schools. Many states ban the use of corporal punishment at any time for students at any level, and it is likely to become true for all states in the not too distant future. Expulsion of a student from school is also an infrequent occurrence. These sanctions can be used in varying combinations and intensities, yet the assistant principal finds them to be only moderately effective in remediating student misconduct.

The assistant principal uses a variety of distinct personal images when remediating student misconduct. S/he can and does change images quickly and easily. Reed and Himmler (19: 59-84) refers to these images as the policeman and father confessor. The assistant principal, at different times, displays these general images. However, each of these general images is a category of several other images. The policeman category includes the "drill sergeant," "mother superior," and "bully" images. The father confessor image includes "empathizer" and "helper" images.

The assistant principal exemplifies the drill sergeant image when s/he says in a commanding voice over a bullhorn to a group of students, "Get off the roof!" S/he exemplifies the mother superior image when s/he says in a questioning tone to a girl who is being embraced by a fellow, "What would your mother think about this?" S/he exemplifies the bully image when s/he says in a loud voice to a boy who left class without permission, "Listen, fellow, the next time you leave early from class, just keep on going and we'll drop you from the class." The assistant principal exemplifies the empathizer image when s/he listens patiently to a girl who recounts details of an incident where she and another girl got into a serious argument. S/he exemplifies the helper image when s/he discusses with the girl how to turn a serious argument into a serious discussion. The images and institutional sanctions used in various combinations constitute the resources the assistant principal uses in remediating student misconduct.

The process the assistant principal uses to remediate misconduct is conditioned on four factors. These include:

1. The type of disruption;
2. the reputation of the student(s) involved;
3. the context of the disruption; and
4. the load on the system.

In general, the assistant principal remediates disruptions in descending order of importance—very serious, serious, not very serious, and minor. In times of heavy load on the system, minor disruptions may have to be overlooked and serious disruptions may have to be treated as minor disruptions.

Typically, the assistant principal deals with minor disruptions immediately and spontaneously. For example, students lingering in a hallway following the lunch period are commanded to get to class. Students engaged in not very serious disruptions are referred by both teachers and the assistant principal to the assistant principal's office and as time permits, the assistant principal deals with referrals. Serious disruptions are dealt with immediately...students fighting on campus are escorted to the office by the assistant principal or security personnel. At the office, discipline proceeds immediately. Very serious disruptions are also dealt with immediately. With such cases, discipline is initiated, but is then delayed. Because serious disruptions are typically of such gravity and occur so infrequently on most campuses, the assistant principal "buys time" to inform and seek advice from the school principal or consults with other assistant principals.

In general, students with a developed history of disruptions are dealt with by the assistant principal in a rather routine and impersonal fashion. In contrast, students with no history of disruption are dealt with in a more personal way.

The context of a disruption can be understood in terms of visibility, age, and status of those involved. In general, a disruption will be viewed as more serious than it otherwise would if it has high visibility and involves individuals of different ages and status. By contrast, if a disruption has limited visibility and involves individuals of the same age and status, it usually will be viewed as less serious than it otherwise would.

Although most of the remediation work of the assistant principal involves direct personal presence with students, the assistant principal also engages in indirect activities that are oriented to remediating student misconduct. These include clarifying rules and developing new ones. Similarly, the assistant principal modifies, refines, and develops new organizational sanctions associated with rules. Furthermore, the assistant principal suggests and makes changes in master schedules in an attempt to reduce campus disruptions; for example, shortening the lunch period or adding a morning snack to the schedule.

In addition to his/her work related to the master schedule, calendar, and supervision, the assistant principal has a variety of ancillary responsibilities. These may include evaluating teachers and preparing institutional reports. Though these activities are important to the organization, they usually are not central to the assistant principal's daily work (unless primary duties have been assigned to curriculum as is often true in larger high schools where there are several assistant principals). Most assistant principals gets evaluating, reporting, and other similar responsibilities accomplished; however, these are done when "school activity is low" or when students are not present, after school hours, during evenings, and on weekends. When ancillary responsibilities are undertaken during school hours, the supervision of students and its various components must take precedence.

In summary, it is important to note four salient characteristics associated with the assistant principalship. First, s/he works primarily with students and not adults. Through his/her work with students, the assistant principal becomes highly visible to students. Hence, the assistant principal in charge of discipline is regarded by students as being the most important administrator in the school. However, this regard is not shared by other administrators. Second, the assistant principal has an unscheduled work day; accordingly, s/he is expected to respond immediately to a variety of unanticipated events. Hence, the assistant principal cannot schedule his/her own work day and control the pace of his/her work to keep it from becoming physically exhausting and emotionally draining. Third, the assistant principal is expected to support student activities and in general support the "positive side of the school." However, the majority of the assistant principal's time and attention is devoted to student discipline, the "negative side of the school." Therefore, the assistant principal tends to develop a cynical orientation toward students in general. And, finally, although the assistant principal has personal and direct responsibility for student discipline, discipline problems do not diminish in his/her school very much, which is a discouraging but realistic result. Thus, the assistant principal has difficulty in claiming credit for being an effective administrator and defending him/herself against criticism of not being particularly effective.

**Is There an Instructional Role for the Assistant Principal?** Reports by Greenfield (9), Marshall (14) and Reed (18) suggest that the role of the assistant principal is fairly ambiguous and oriented primarily to serving an organizational stability function only peripherally related to the instructional domain in schools. Simply put, can researchers and practitioners reconceptualize the role of assistant principal and make it more central to the instructional domain without sacrificing the stability function? The suggested reconceptualization has a threefold purpose:

1. To make the role of the assistant principal more professionally satisfying and more salient to matters of instruction and learning;
2. to provide role relevant learning opportunities for assistant principals that functionally serve as preparation for the subsequent and broader responsibilities of leadership and management associated with the principalship;
3. to develop and institutionalize a school-based capacity for work-centered problem-solving activities that are pursued cooperatively and collaboratively by teachers and administrators focusing on improving instructional practices and learning outcomes.

It is suggested that achieving these purposes would necessitate a redefinition of the role of the assistant principal to include a major organizational responsibility for identifying and solving problems of instructional practice and program articulation, and for guiding and supporting the efforts of teachers to grapple with and solve problems. This reconceptualization parallels the spirit of suggestions made about two decades ago by Austin and Brown and, although it appears simplistic, it would actually require a number of fundamental changes in the work of teachers and in the ways schools are organized and administered.

One of the clearest messages in this reconceptualization is that it would require the energy, talent and commitment of a great many persons at the building level, and supported by central office staff and board policies. It is also clear that making the shift from focusing on organizational stability to instructional leadership would require both extensive retraining of building level staff and close support for its implementation.

It is also not clear that individuals dedicated to an organizational maintenance role as embodied in most assistant principalships would want to or be able to make the shift toward proactive instructional planning and implementation. However, the evidence suggested by Marshall's study is most encouraging. First, in some settings, the assistant principal's role already includes significant elements of instructional rather than building or student management. This suggests that there already is some degree of institutional legitimacy for assistant principals to engage in instructional matters, and this legitimacy could be further strengthened by a more judicious and enlightened division of administrative labor, direction and support from the top.

Second, those recruited into the assistant principal role are often those who show some kind of exceptional promise as classroom teachers or those with the intellectual skills and motivation to perform well on qualifying examinations. Although this latter point is not to confuse intellectual capability or academic training with leadership and management skills, it does suggest that these individuals already possess a respectable degree of instructional proficiency and knowledge and have the motivation to take on what are sometimes excessive workloads and responsibilities in order to demonstrate their leadership qualifications.

Third, most of the assistant principals described by Marshall (14) are adaptable survivors; that is, they were unprepared for the tasks they were asked to undertake, but they found ways to come up to speed and to cope with conditions and responsibilities that were neither familiar nor comfortable. In many cases they have fundamentally switched orientations from embracing teacher autonomy to recognizing and implementing policies that are distinctly unpopular with teachers. In short, they have been fairly well socialized into roles they occupy and are willing to perform well those duties that they believe will bring recognition and advancement.

Fourth, many are disturbed by the compromises they see being made in program quality, and they desire to find a way to remedy the weaknesses that they encounter on a daily basis. Some regard the mechanics of administration as trivializing their role, and the wish to devote more time to the things that they believe will make a difference in their schools.

These four points appear to represent signs of optimism regarding the possibility of reconceptualizing the role of the assistant principal. But, as currently defined, the typical role is quite unlikely to produce leaders with instructional priorities or instructional leadership potential. As public pressures for significant improvements mount, the incentives for focusing on program improvements will unmistakenly increase. It is these pressures that hold the promise for stimulating a rethinking of how administrative action could regularly and systematically be used to strengthen the entire instructional delivery capability of the local school.

**Some Common Sense Suggestions for Assistant Principals.** The role of assistant principal in schools today is often demanding, but also very rewarding. There is much interaction with people—students, parents, teachers, support staff, and others from resource agencies in the school community.

This author has found the following points helpful to remember in establishing and continuing solid relationships with people while performing the expected daily tasks at hand.

1. *You are a subordinate to the principal and the real purpose of your job is to alleviate problems and to make his/her job easier.*

By carrying out your duties responsibly as assistant principal, you are freeing the principal to do other things. The main point about this relationship is to always remember to keep the principal informed about what you are doing and why. Good communication is vital! There is nothing more annoying to a principal than to learn about something from another principal or parent. This is especially true when the assistant principal knew all about the matter and forgot to bring it to the principal's attention.

2. *Remember that education is a Service-Oriented Profession.*

The service provided is the education of the students in the school. The assistant principal's role is one of serving others. This is true with parents, students, and teachers. If you wish to be effective, you have to be supportive and responsive to these parties. If you sit back and just want to be an authority figure, the perceptions people have about you will greatly diminish.

3. *Being Effective Means Getting Involved.*

When the assistant principal gets a telephone call from a parent, be sure to follow up on it. Take the name and telephone number in case something happens and you have to call back to explain something later. Follow-through often means letting people know what you did about something. Don't let things drag on for days or weeks. Get at them as soon as possible and get back to the parties involved.

4. *Use Appropriate Modes of Communication.*

Notes, memos, letters, telephone calls, and personal conferences are all necessary, and are effective if used wisely. The assistant principal should consider telephoning parents in the evening since many parents are employed during the school day and cannot be reached.

Always leave a note or stop by and see a teacher about what you did regarding a discipline problem. If you have intra-school telephones, a call can complete the cycle of communication that is so vital. One of the biggest complaints of many teachers is that they are not told anything when a student has been sent to the office.

Occasionally meet with the teachers, either individually or in small groups. This procedure shows caring and tells teachers their interests are a priority with you. When touring the building, be sure to stop and visit different teachers. Do not visit the same individuals, since this gives the appearance of showing favoritism.

Do not be hesitant once or twice a year to take a student home in your car to see the parents. This can have a dramatic effect on the student, his/her peers, and the parents. It is a bold step, but sometimes "shock treatment" works wonders when you are attempting to solve a problem.

5. *Have a Sense of Humor and be Happy.*

Don't be afraid to smile and be friendly. Too often assistant principals feel that they must be stern and serious if they are to do a good job. Nothing is further from the truth. Why not go into the cafeteria just to sit down and visit informally with groups of students? Friendliness is contagious and much appreciated. Let people know you are human and can be fun loving.

6. *Be Reflective and Do a Yearly Self-Assessment.*

The assistant principal should list several goals for the coming school year. Attempt to work at something you consider important to the faculty, the students, or the school community. At the conclusion of the year, after periodic spot-evaluations, see if you measured up to your original goals and accomplished what you set out to do. Our tasks become routine if we do not force ourselves to try new approaches or set realistic goals.

7. *Always Give Credit When Credit is Due.*

Look for opportunities to commend and recognize others for outstanding work and accomplishments. Everyone needs to feel good about themselves. It is amazing what a sincere verbal compliment, a kind note, or a praising letter can do for a person's self-esteem.

8. *Be Optimistic and Positive.*

Things have a way of working out for the best. Always try to look on the bright side and be cheerful. A negative thinker is like the plague. No one wants to near it...and it spreads.

## Summary

This chapter has attempted to provide a practical understanding of the work associated with the assistant principalship in American public schools. Assistant principals as school administrators are charged with establishing and maintaining organizational stability. With respect to establishing organizational stability, an assistant principal likely has the task of establishing the school's master schedule and developing the school's activity calendar. With respect to maintaining the stability of the school, one or more assistant principals likely have the task of supervising students, particularly when they are not under the direct supervision of teachers.

Supervision involves three related activities: monitoring, supporting, and remediating (disciplining). For the most part, monitoring involves surveying the school for signs that student conduct complies with regularity and conforms with the values of the school. Support largely involves activities that reinforce student conduct with respect to school values. Remediation largely involves activities that transform student misconduct to comply with the regularity and conforms with the values of the school.

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## Eleven

# The Effective School Consultant

by

**Ronald W. Roland**

The present day model of the consultant has evolved from the role of supervisor. In the early part of the 19th century, the supervisor's role was to inspect schools to ensure compliance to a set of objectives. By the 1950s, acceptance of the teacher as a professional had become entrenched, and supervisors became helpers, more than inspectors. It was during this time that the term consultant was born in the literature and in practice. It was an attempt to erase the legacy of inspection that had become synonymous with the title of supervisor (1).

Through the 1970s, the consultative role had two primary thrusts (2)—as expert, due in part, at least, to the preparation voids of the supervisor and other administrators, and as facilitators. Today, researchers suggest that an effective consultant has effective skills in both areas (3).

The evolution of the role of consultant resulted in an increased participation in the change process of schools and school systems. The literature on change process emphasizes the importance of professional development, and of the role of the consultant (4). Without professional development, lasting change is unlikely. To facilitate change in classrooms, consultants need to help teachers:

- alter beliefs
- use new approaches
- use new materials

In this chapter, a dual approach to the study of the effective school consultant will be presented. First to be explored, will be the employer's point of view: What is a consultant? When do we need a consultant? What to look for in a consultant? How to use a consultant most effectively? Secondly, the consultant's point of view will be discussed. To be proposed will be a model for the consultantship, which will include the domains of Administrative/Supervisory Consulting, Curriculum Consulting, Instructional Consulting, Staff Consulting, and the nine components underlying such a model: Philosophy/Psychology, Personality Theory, Communication Theory, Counseling/Group Development, Learning Theory, Sociology Theory, Curriculum/Instruction Theory, Management Theory, Assessment/Evaluation. Both the employer's and the consultant's points of views are essential elements in what constitutes an effective consultantship.

**What is a Consultant?** Before any serious discussion of consulting can begin, it is necessary, as in all scientific study, to define significant terms so that a common frame of reference may be established. Thus, the following definitions seem appropriate:

> Consultant: A person who gives professional advice or service—as a consulting physician.
>
> Outside person: A person not employed by the school or school system seeking a consultant.

For our purposes, the term "consultant" will apply to outside persons who can provide the needed services. Local school administrators, supervisors, and others will not be considered as consultants, even though at times they may very appropriately act as consultants.

If a school or school system wishes to provide staff members with additional skills, i. e., handling stress, managing student behavior, or the methods and materials to teach a particular lesson, then they may choose to seek out such an outside person who possesses the expertise to provide these skills.

**When Do You Need a Consultant?** Heller suggests that some issues facing school systems can best be approached using the specialized talents and objectivity available only from consultants (5). When contemplating the employment of consultants, Richards (6) offers five phases of the consulting process to educators. A discussion of the first phase, "contact entry," contains seven tips to consider before employing a consultant, and six tips for forming the base of the working relationship with the consultant. The second phase, "diagnosis," is described as the process of determining by examination the cause and nature of the client's problem; six guidelines are offered for the successful completion of this phase. The third phase, "response," is discussed as a critical portion of the consulting experience as the solutions sought in the project are presented for consideration; nine questions are offered to help ensure satisfaction with the consultant's performance. The fourth phase presented is "disengagement," which requires the evaluation of results to see if a "response" has been successful, and if there might be a further need for "response" revision and/or additional resources. The last phase is "closure," which is the termination of the working relationship. Four activities are given which should be included as part of the "closure" by the consultant.

Holm (7) lists four duties of a consultant as 1) analysis or diagnosis of the client's problem, 2) prescription of a training design or corrective measures for these problems, 3) implementation or teaching of these strategies, and 4) evaluation of these activities in relation to their success.

Taba (8) states that the role of the consultant is most often considered to be that of a resource person. Even as such, it may take several directions. It obviously would vary in the different kinds of local situations and would be one thing in the small school system with limited professional personnel and quite another in the larger unit which provides a separate supervisor responsible for each area of the curriculum. Various kinds of tasks may be performed by the college consultant in either the local system or a single school. S/he might:

1. help the staff determine objectives or to arrive at a philosophy;
2. assist in determining the scope and sequence of the content of the curriculum;
3. aid in developing unity and better articulation throughout the school program;
4. help the staff to become more knowledgeable in a given area of the curriculum such as computer literacy;
5. devote his/her energies toward the improvement of instruction or methodolgy, for methods cannot be divorced from the curriculum. Curriculum planning which does not result in improved classroom practices is sterile;
6. assist in the organizing and use of a curriculum materials center;
7. render a real service in helping to identify strengths and weaknesses within the instructional program and the curriculum of the school;
8. stimulate the staff by injecting a fresh point of view, a "shot in the arm," to either small or large group conferences with curriculum problems;
9. assist in the search for a new superintendent and/or other high level administrative personnel;
10. help identify strengths and weaknesses in the administrative structure and functions and offer suggestions for improvements.

The consultant needs to be aware of the major problems facing today's schools. This knowledge increases his/her worth in planning suggestions for improvement.

In one study, undertaken to discover why educational consultancy has not been more successful in implementing new educational programs and practices, Mullin (9) wanted to identify differences in perceptions of superintendents, principals, consultants, and teachers with regard to the teacher's need for consultant services and the factors, organizational or otherwise, affecting those services. Knowing that educational consultants interact with teachers within an organizational context that may fall on a continuum between a tightly structured "rational bureaucracy" and a loosely coupled structure, it was found that for effective consultation, a more tightly coupled organizational structure is advocated.

Four large school systems were chosen for the above study, which was based on questionnaires distributed to superintendents, all consultants, and the principals and teaching staffs from 15 randomly selected schools. Findings revealed the need for:

1. greater input by teachers in the formulation of consultative goals;
2. more knowledge among all key actors about the services;
3. employment of more consultants;
4. reduced number of teacher needs for which consultants are responsible;
5. a high priority for beginning teachers in allocating consultant services;
6. reduction in consultants' administrative tasks;
7. increased in-service training by other classroom teachers.

In order for consultantship to be most effective, the following questions need to be considered: What to look for in a consultant? and How to use a consultant?

**What to Look for in a Consultant?** Jones (10) points out that the consultants from the outside (college or university) have some definite advantages over local personnel. When s/he is a person who often functions in this role, similar experiences in previous projects can be shared. S/he is able to point out the successes and the failures that other school systems have encountered. S/he may have greater insight into the total picture because of knowledge, experience, and particular competencies. His/her work with graduate students, for example, in college courses and seminars, and in directing research adds overall effectiveness. Additional assets are the resources and facilities that are available to him/her. Colleagues and university staff members, campus libraries and computer centers are other examples of such resources not available to local personnel.

Further, this person is often a specialist in a given area. S/he is quite knowledgeable in his/her specific field because of efforts to keep-up-to-date through research, wide reading, and other avenues of learning. S/he needs to know the research and experience in the field, the trends, the current emphases and recent developments. Invaluable contributions could be made with regard to research. His/her function might be to familiarize the local personnel with the research currently available. S/he often assists in the interpretation of research findings and their implications for curriculum, instruction, and learning. School systems frequently engage in scientific experimentation and action research as a means of providing more effective programs within their schools and rely heavily on the college person who is trained and experienced in this field.

**How to Best Use a Consultant?** Continuing from her study at the University of North Carolina, Jones offers the following:

*In workshops and conferences*. The actual role or performance of this consultant might vary rather widely within a series of conferences and its related aspects. It is possible that s/he has had wide experiences in working with groups. If s/he is competent in group dynamics, his/her most worthwhile contribution might be made there. Assisting with the organization of groups and with setting up the actual mechanics for implementing procedures for curriculum planning could be as valuable as working in the group situation later. S/he could, on occasion, speak on an appropriate topic before a large audience. His/her function might be that of a resource person in small group discussion. Summarizing and evaluating what is being accomplished could be his/her role.

*In evaluations and accreditation.* Self-studies and evaluation conducted by school systems are designed to improve curriculum and instruction. These are frequently done in an attempt to seek regional or statewide accreditation of schools. When these self-studies are properly done, decided growth and curriculum improvement results. In the Southeast, for example, the Southern Association of Secondary Schools and Colleges Cooperative Program in Elementary Education is leading school systems to take a close, objective look at the elementary school program. They further serve as chairpersons or as consultants or as a member of the visiting team and find that a great deal of curriculum planning is involved in this type of endeavor. The long-range improvement plans that follow the initial accreditation often result in concentrated efforts to improve specific areas of the curriculum as well as its broader concepts.

*In mathematics.* With the rapid changes taking place, there is an urgent need for judicious planning. The explosion of knowledge in the field creates a decided demand for competent teachers. The determination of the content is involved in plans for the curriculum. A careful analysis of the newest mathematics programs needs, of course, to be combined with a thoughtful study of how children learn, based upon the most recent research available in the areas of human learning and child growth and development. Possible contributions of the college consultant in this category are obvious.

*In related disciplines.* The present status of teacher education has affected the rethinking on the part of many people. The decreasing emphasis on methods and the accompanying increase of emphasizing subject matter disciplines in preservice education has enhanced efforts to improve these knowledges of teachers in the classroom through in-service education. In may instances school systems offer salary increments for participation in courses in the disciplines related to teaching fields. In North Carolina, the 1961 General Assembly appropriated funds to be used by the State Board of Education for the Special In-

Service Teacher Education Program which purports "to upgrade and update the subject-matter knowledge and to broaden the cultural backgrounds of classroom teachers" (11: 120). College staff members teach these courses which are planned by the local school system and organized through the State Department of Public Instruction.

*In planning for individual children*. Ever-growing concern for the individual student affects curriculum planning. Some school systems that have reduced class load of each elementary teacher have held series of workshops in which school personnel and a college consultant have worked together to adjust the curriculum and the instructional program to better meet the needs of individual children. Other teams of teachers and a college consultant have been successful in their attempts to develop independence among pupils. Planning is devoted to ways of helping boys and girls to accept more individual responsibility for their own learning behavior and work habits.

*As a consultant to supervisory teams*. The college person can also directly affect learning when s/he also merely serves as a consultant to persons in leadership roles. The small-group conferences concerned with planning with superintendents, directors of instruction, other members of the supervisory team, or principals may eventually result in a marked improvement in curriculum, instruction, and student achievement scores.

*As a teacher*. The effect of the campus courses taught by a college person is not to be minimized. The stimulating graduate course or seminar composed of individuals from local school systems motivates these students to do some reflective thinking about their own situations in terms of new knowledge and broader visions. Opportunities to search for answers to questions of genuine concern are provided through wide reading, through becoming familiar with professors and other students. The result should be an objective evaluation of school programs which in turn leads to curriculum planning and improvement.

Burke sees a consultant as a person helping a consultee to maximize his/her potential in his/her work role by assisting to achieve more effective and efficient use of his/her own initiative, perception and resources. More than once Burke mentions consultee resistance and insists that an accepting and trusting climate is crucial to consultative relationships (12: 4-8).

After more than two decades of consulting, there is no doubt in my mind that the above point is number one in terms of maximizing outcomes. If a climate of acceptance and trust is not present, then the time necessary to establish such an atmosphere must be provided. A sensitive consultant can often be helpful in determining when such a climate is present. Many experts in the field of human behavior insist that, "if it ain't there, wait until it is, or it won't work."

As mentioned in the beginning of this chapter, the consultant's point of view is as critical to an effective consultantship as the school or school system's point of view.

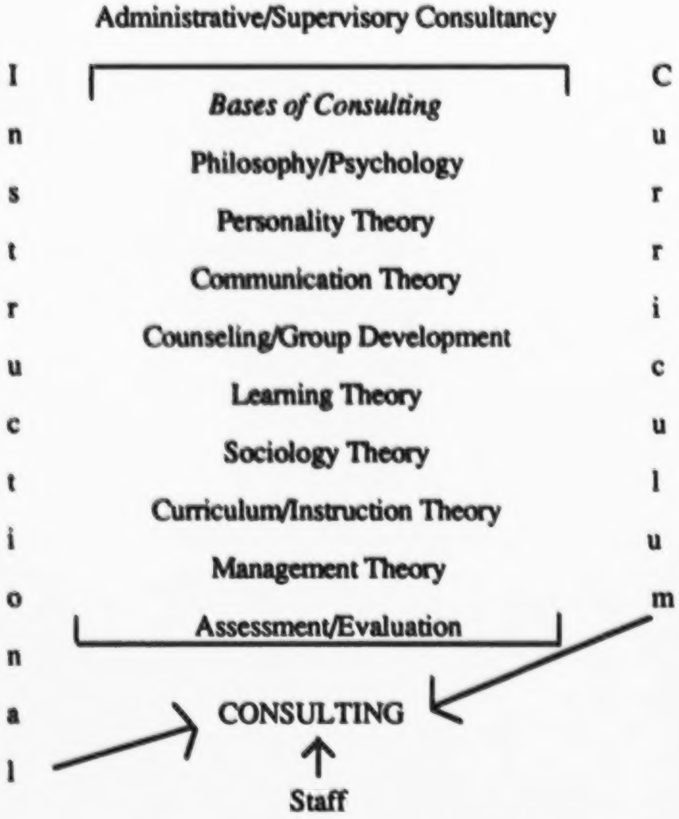
**From the Consultant's Point of View.** Consideration needs to be given to the following (not intended as a complete list):

1. Is the expertise being sought by the school or school system compatible with the expertise of the consultant?
2. Are the school or school system's conditions acceptable to the consultant…
    a. who is involved in the decisions about the topic of each excercise?
    b. who are the support personnel?
    c. what resources are available?
    d. what equipment and/or supplies are available?
    e. is the time and space adequate?
    f. is the schedule adequate?
    g. are the work sessions adequately organized?
    h. is the price right?
    i. has a suitable climate been established?
    j. have appropriate personnel been informed and/or solicited to participate?
    k. has adequate preparation been made?
    l. will results of an evaluation be made available?

The following Model for Consultanship is proposed for consideration in planning by both the consultant and the consultee (13):

Figure 1

DOMAINS OF CONSULTANCY


Administrative/Supervisory Consultancy
Instructional
Curriculum
*Bases of Consulting*
Philosophy/Psychology
Personality Theory
Communication Theory
Counseling/Group Development
Learning Theory
Sociology Theory
Curriculum/Instruction Theory
Management Theory
Assessment/Evaluation
CONSULTING
Staff

MODEL FOR SCHOOL CONSULTANCY

I. *Administrative/Supervisory Consulting*

A consultant may be acquired to assist in the selection of high level administrators and in the professional development of administrators or supervisors through the use of preservice or inservice activities.

II. *Curriculum Consulting*

Consultants are often secured to provide new or enhance existing curriculum. One example might be where a school system is moving in a new direction, from the traditional junior high school to the middle school, a person more familiar or knowledgeable about appropriate curriculum needs would be sought-out to help.

III. *Instructional Consulting*

Situations often arise where a teacher needs assistance with instructional strategies, including different materials, activities or teaching methods.

IV. *Staff Consulting*

Ways to differentiate the staffing within a group of teachers is a viable consultative domain. An "outsiders" view of ways to assign people with multiple certification, talents, or interests is often necessary, especially where the insiders have exhausted their ideas.

The parts that constitute the foundation for this model of consulting are the areas of learning from which the consultant derives expertise, and are referred to as the *Bases of Consulting* in the following outline:

*Bases of Consulting (*See Figure 1)

1. ***Philosophy/Psychology***. Each school organization, in need of consultant services, has a philosophy upon which it stands and a psychology by which it operates. The effective school consultant needs to become familiar with, and function within the parameters of each.

2. *Personality Theory*. Learning all that one can about the traits of personality, and the many theories analyzing them, will assist the consultant with problem-solving and conflict resolution, especially as it pertains to group work.
3. *Communication Theory*. A working knowledge of the basic theories of communication will increase the possibilities that correct messages will be transmitted between the consultant and the consultee.
4. *Counseling/Group Development*. Counseling skills are critical to working with the development of groups, both large and small. Especially needed are the counseling skills that permit the consultant to influence or change the consultee.
5. *Learning Theory*. Something as simplistic as, "success breeds success," if followed, will produce desired results not otherwise possible. A consultant needs to be "armed" with the theories of learning to better facilitate consultees toward organizational goals.
6. *Sociological Theory*. To learn the various theories of sociology will provide the consultant with the knowledge to intelligently deal with various cultures, their mores and values, especially those that differ from his/her own.
7. *Curriculum/Instructional Theory*. Closely related to learning theory, curriculum and instructional theories will provide the consultant with additional insight into the content, sequence, scope, and balance of curriculum, while matching teaching techniques with appropriate learning theory.
8. *Management Theory*. Anyone in a leadership position needs to gain all the skills available to manage people and things in the most effective manner possible.
9. *Assessment/Evaluation*. To be able to make judgments about goal and objective achievement, and to assess the strengths and weaknesses for future targeting, are skills required of all effective school consultants—or how else will effectiveness be measured?

## Summary

As Olivia suggests, knowledgeable and skilled supervisors and consultants also need to be able to demonstrate competency in 1) certain personal traits, and 2) certain types of knowledge and skills. Since they are expected to demonstrate a high degree of skill in human and humane traits as empathy, warmth, and sincerity. (13)

The search for personal traits is a somewhat dated activity in a time when researchers are attempting to identify competencies that school personnel should demonstrate. Nevertheless, in spite of these encumbrances, the question of personal characteristics needed by these consultant leadership positions should be briefly considered. McKean and Mills deemed the following personal characterisitcs essential to the fulfillment of such a role:

- ability to win respect and confidence
- empathy and sensitivity
- enthusiasm
- feeling of adequacy
- originality
- sense of humor
- sense of relative value
- sincerity
- resourcefulness (14: 2-3)

The effective consultant is one who is in constant contact with people. As a service-oriented agent for improvement, the consultant must be imbued with the spirit which counselors refer to as "the helping relationship," the desire to give of oneself in order to be of assistance to others. S/he needs a type of persuasiveness and infectious enthusiasm to cause teachers and other educators to want to make changes for the betterment of education in that school or district.

The effective consultant needs to be an "idea person," who starts people thinking about new and improved ways of doing things, and to convey the attitude of valuing and seeking the ideas of others. S/he needs to avoid the impression of having all the answers.

Further, the effective consultant needs to have experienced a solid graduate program of leadership or in some related area, and three to five years of successful teaching and/or administrative experience at the appropriate level. To perform effectively, the consultant must possess broad knowledge of both a general and professional nature and must be able to translate both theory and knowledge into skillful practice (14: 21-23).

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